

## **Introduction Letter**

Issue Date: December 14, 2023

Closing Date: December 15, 2024

Closing Time: 11:00 pm ET

Subject: Notice of Funding Opportunity Number: 720BHA23APS00002

Program Title: BHA Multi Year Annual Program Statement (BHA MYAPS)

Federal Assistance Listing Number: 98.001 and 98.008

Interested Applicants:

The U.S. Agency for International Development (USAID) Bureau for Humanitarian Assistance (BHA) is announcing the Multi-Year (MY) Annual Program Statement (APS) known hereafter as the MY APS.

Through this MY APS, BHA announces its intent to issue future amendments as 'rounds of applications' for particular geographic, programmatic, or technical areas where USAID is interested in funding multi-year awards. This MY APS is designed to support specific Agency and Bureau priorities and criteria for Early Recovery, Risk Reduction, and Resilience (ER4) - including sustained response - Resilience Food Security Activity, and Learning and Capacity Strengthening. BHA will issue requests for concept papers or applications via a round. For the purposes of the MY APS, a round of applications is defined as a specific program description that will be accepting applications or seeking concept papers. A round will be a specific program description that falls under the larger MY APS that will state a specific goal, purpose, and desired results. Interested organizations should read the entire MY APS, as well as applicable rounds, and follow the instructions for submitting a concept paper or application as they are stated in the round. Applicants should not submit concept papers or applications in response to this umbrella MY APS, but only to rounds published under the MY APS on Grants.gov. USAID reserves the right to make or not make awards resulting from applications received under the rounds to this MY APS.

To be eligible for award, the applicant must provide all information as required in this MY APS and meet eligibility standards in Section C of this MY APS. This funding opportunity is posted on [www.grants.gov](http://www.grants.gov), and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity and to ensure that the MY APS has been received from the internet in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on [www.grants.gov](http://www.grants.gov) or accessing the MY APS, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at [support@grants.gov](mailto:support@grants.gov) for technical assistance.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D.6.g. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

Please send any questions concerning the MY APS to the point(s) of contact identified in Section D and G. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through a round to this notice posted to [www.grants.gov](http://www.grants.gov).

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

/s/

Matthew Nims  
Agreement Officer, Title II

/s/

Renee Newton  
Agreement Officer,  
International Disaster Assistance (IDA) and  
Community Development Funds (CDF)

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## **SECTION A: PROGRAM DESCRIPTION**

### **I. Background**

#### ***1.1. Bureau for Humanitarian Assistance (BHA) Mission***

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

#### ***1.2. Background and Context***

BHA's humanitarian assistance consists of two major conceptual areas, which are frequently interlinked. The first area is humanitarian response pursuant to a Declaration of Humanitarian Need (DHN). Humanitarian response is characterized by urgent action, including quick assessment of needs, logistical support to local and national actors, rapid provision of funding to partners to meet critical needs, and deployment of teams of disaster response experts. The second conceptual area which this MY APS covers, encompasses early recovery, risk reduction, and resilience (ER4) programs and activities.

The goal of BHA's ER4 programming, as described in [BHA Strategic Framework for ER4](#), is to improve the well-being of people who are vulnerable—from the individual to country level—by strengthening their capacities to manage risk; to anticipate, withstand, recover from, and adapt to shocks and stresses; and to support positive, transformative change. While BHA considers its ER4 programming to be a form of humanitarian assistance, activities in this area typically focus on longer-term outcomes related to recovery, reducing the need for ongoing and recurrent humanitarian assistance, and promoting resilience and enabling people to take ownership of their own humanitarian and development outcomes.

The MY APS is intended to promote competition to foster new ideas and encourage new partnerships with BHA. As a result of these challenges and to meet the demands arising from protracted crises and complex emergencies globally, the MY APS was designed to do the following:

- Increase BHA's opportunities to support multi-year early recovery, risk reduction, and resilience programming, including sustained response;
- Improve quality and effectiveness of multi-year programs requiring a 2-5 year timeframe;
- Increase efficiency in soliciting applications for multi-year programming;
- To complement, but not replace or change, the EAGs; and
- Increase competition in BHA procurements.

BHA's ER4 activities often represent an initial step towards longer-term development programming. These activities link to and coordinate with broader development efforts, including those led by USAID Missions and offices, where possible. BHA both integrates ER4 programming with DHN humanitarian response programming where appropriate and feasible, and provides support to stand-alone ER4

activities that typically happen prior to and outside of the context of urgent humanitarian response to a DHN.

### ***1.3. USAID Policies and Strategies***

#### ***1.3.1 Automated Directives System (ADS)***

Applicants should be familiar with the ADS, specifically [ADS Chapter 303](#), which contains internal guidance, policy directives, required procedures, and standards for the award and administration of USAID grants and cooperative agreements. ADS Chapter 303 incorporates Office of Management and Budget (OMB) Uniform Guidance and Code of Federal Regulations (CFR) requirements into Agency policy and sets forth Standard Provisions which the Agency must include in awards to recipients. Applicants should also familiarize themselves with the mandatory [Standard Provisions \(ADS Reference 303maa\)](#) and [ADS Reference 303mab](#)) accompanying ADS Chapter 303.

Note: Whereas ADS 303 applies to NGOs, ADS 308 is specific to PIOs. ADS 308 highlights that while competition is not required, it is encouraged. In cases when a PIO applies competitively, ADS 308 still applies. Unless otherwise specified in the MY APS, any reference to the Code of Federal Regulations or the ADS applies to NGOs only.

#### ***1.3.2 Agency Level Policy***

The following USAID policies apply to rounds under this MY APS.

- [USAID's 2022-2030 Climate Strategy](#)
- [USAID Resilience Strategy](#)
- [USAID Private Sector Engagement Policy](#)
- [Local Capacity Strengthening Policy](#)
- [Local Systems: A Framework for Supporting Sustained Development](#)
- [Global Food Security Strategy](#)
- [Multi-Sectoral Nutrition Strategy](#)
- [2023 Gender Equality and Women's Empowerment Policy](#)
- [Policy on Promoting the Rights of Indigenous Peoples](#)
- [Youth in Development Policy](#)
- [Disability Policy Paper](#)
- [USAID's Equity Action Plan](#)
- [LGBT Vision for Action](#)
- [USAID Digital Strategy](#)
- [U.S. Government Open Data Policy](#)
- [USAID Global Water Strategy 2022-2027](#)

## 2. Programming Areas

BHA will issue separate rounds to this MY APS. Rounds will request applications for the following types of programming:

- **Early Recovery, Risk Reduction, and Resilience (ER4).** The goal of early recovery programs is to help people and communities recover from a shock or stress, reduce or avoid dependence on humanitarian relief, and transition to self-reliance. Early recovery builds on humanitarian response and aligns with development principles to establish the initial foundations of long-term recovery. Disaster risk is expressed as the potential loss of life, injury, or destruction or damage to assets that could occur to a system, society, or community in a specific period of time. It is expressed as a function of hazard, exposure, vulnerability, and capacity. Risk reduction is the prevention of new disaster risk, reduction of existing risk, and management of residual risk, all of which contribute to strengthening resilience and to the achievement of sustainable development. Resilience is the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth. Sustained response programming addresses the continuing needs of affected communities from a sustained crisis or chronic hazards.
- **Resilience Food Security Activity (RFSA).** BHA's RFSA programming strengthens capacities of populations to combat malnutrition, reduce morbidity and mortality, promote economic growth, minimize disaster risks, improve food security, and adapt to climate change. BHA uses a multi sectoral, integrated activity design that sustainably improves outcomes and strengthens the adaptive, absorptive, and transformative capacities of communities.
- **Learning and Capacity Strengthening.** BHA funds learning and capacity strengthening activities that improve humanitarian assistance by informing design and implementation, contributing to the global humanitarian evidence base through research and other forms of analysis, advancing thought leadership, or strengthening capacity that benefits the larger humanitarian community.

Rounds may also further specify a geographic or sectoral focus. Rounds with a geographic focus may have global, regional (multiple countries), country-specific, subnational purposes.

### 2.1. Sectors

BHA may fund the following sectors under this MY APS:

- Agriculture
- Disaster Risk Reduction Policy and Practice
- Economic Recovery and Market Systems
- Food Assistance
- Health

- Humanitarian Coordination, Information Management, and Assessments
- Humanitarian Policy, Studies, Analysis, or Applications
- Logistics Support
- Monitoring and Evaluation
- Multipurpose Cash Assistance
- Natural Hazards and Technological Risks
- Nutrition
- Protection
- Shelter and Settlements
- Water, Sanitation, and Hygiene

BHA may issue rounds that focus on a single sector (e.g. a WASH-only activity) or multiple sectors.

For applications for ER4 and Learning and Capacity Strengthening rounds, applicants must group sectors by purpose, break out sectors into keywords; geographic areas; and sector, commodity, modality tables as applicable which are pre-defined categories of interventions under each sector. The EAG [Sector Requirements](#) contains detailed technical guidance for each BHA sector including applicable indicators at the purpose, sector and keyword levels.

Rounds for RFSAs will provide specific guidance on the applicable technical areas.

### **3. Programming Principles**

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

#### ***3.1. Design for People-Centered Approaches***

BHA is committed to keeping the interests and voices of the people who are most vulnerable at the center of its work, and to funding activities based on the strengths, priorities, risks, and needs of the target population. Integrating diverse voices into program design requires intentional stakeholder engagement and meaningful partnerships to understand community resources and capacities, as well as the broader systems that support them through formal and informal institutions and social dynamics. People-centered approaches address shocks and stressors that may undermine opportunities for positive change and provide linkages to newly emerging or previously out-of-reach resources, services, and catalysts for change.

Applicants are expected to:

- Integrate contextual, and social-identity-related factors (such as gender, age, ability, race, ethnicity, religion, sexual orientation, and socioeconomic status) throughout their application;

- Consider how they will reach, ensure equitable protection and inclusion of, and integrate the needs of groups that may face intersectional vulnerabilities (such as those related to age, disability, SOGIESC<sup>1</sup>, religion, ethnicity, etc.) in assessment, programming, implementation, and reporting;
- Propose activities that strengthen equal participation and feedback and do not exacerbate existing inequalities; and
- Include examples from their earlier activities that demonstrate their experience integrating intersectionality and inclusion.

### ***3.2 Localization***

BHA is committed to locally led, inclusive, and equitable approaches to humanitarian assistance. To the greatest extent possible, humanitarian actions should be guided by the leadership and experience of communities and diverse local actors, including women, persons living with disabilities, youth, Indigenous Peoples, and other individuals who have been marginalized and underrepresented.

Applicants are strongly encouraged to incorporate local capacity strengthening in all areas of the proposed activity. Local capacity strengthening invests in local partners' capacity to achieve inclusive and locally-led humanitarian assistance and engagement. It includes funding local actors through direct awards or through sub-awards, sub-contracts, or similar partnership arrangements including but not limited to research, studies or direct implementation under an assistance award. Local capacity strengthening activities are designed to build on the existing strengths of local civil society and the private sector, such as NGOs, cooperatives, universities, academia, and private companies, among other entities. Local capacity strengthening can be a combination of any of these approaches. Integration of local capacity strengthening must be context-appropriate, reflected at every phase of the activity, and expected to increase over the course of the award. As applicable and appropriate, BHA encourages applicants to partner with local organizations and have local organizations directly manage resources to the extent they have the technical and financial management capacity.

Applicants are also strongly encouraged to work within local systems in order to strengthen human and institutional actors. Left unaddressed, social and gender norms, power dynamics, levels of inclusion, and nature of participation within local systems have the potential to undermine development impacts. Or conversely, when addressed appropriately, they can be engines of positive change when enhanced in ways that increase motivation, equity, social cohesion, and transparent socially accountable service delivery.

### ***3.3 Prioritization and Focus***

In low resource environments, needs and opportunities can easily exceed an activity's capacity to respond comprehensively and effectively. There are also limits to the level of change in knowledge, attitudes, and practices that individuals, households, and communities can absorb. BHA encourages applicants to prioritize the needs of individuals, households and communities and focus resources to

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<sup>1</sup> Sexual orientation, gender identity, gender expression and sex characteristics.



achieve maximum impact. Effective programming identifies leverage points and factors that address key drivers of need and prioritize and sequence a limited number of interventions.

### ***3.4 Strive for Sustainability***

BHA is committed to supporting long-term and self-perpetuating change and the continued well-being of populations who are vulnerable. Therefore, activities proposed under this MY APS need to demonstrate understanding of the operating environment, including existing or residual conflict dynamics and to strengthen formal and informal local systems to increase the potential for sustained motivation, capacity, resources, and linkages in support of continued humanitarian impacts.

### ***3.5 Sequencing, Layering, and Integration***

Applicants are encouraged to utilize sequencing, layering and integration in their activity designs, both across BHA programs and other USAID activities as well as programs funded by government and donors across the Humanitarian Development Peace (HDP) nexus, to maximize the impact and sustainability of interventions and create potential for longer-term success.

**Sequencing** is the intentional organization of phased program interventions to maximize program impact. Appropriate sequencing facilitates utilization of services provided and skills and capacities strengthened. The sequencing of interventions should consider when it is optimal to engage participants in a particular activity or to provide a specific kind of support.

**Layering** is the strategic coordination of overlapping interventions across stakeholders, sectors, funding streams, and humanitarian and development programs in the same area. BHA supports activities that collaborate strategically and operationally with national and local government policies and systems, and other actors and programs working to address the drivers of chronic vulnerability. This requires coordination and joint planning with a broad set of stakeholders to support complementarity and coherence, collective impacts and sustainability, and the intentional pursuit of sequencing, layering, and integrating activities and interventions across relevant programs.

**Integration** is the intentional layering and sequencing of multisectoral interventions and the coordination of actors in order to prevent or reduce the drivers and effects of shocks and stresses that undermine the program and the long-term well-being of the target populations. Strategic integration can address both emergency needs and longer-term development issues at the same time in places where shocks recur frequently. HDP coherence involves linking efforts across the spectrum of programming from short term relief to long term peace and development. HDP coherence is best considered at the design stage and achieved at the operational level, where the differences and overlap of scope and objectives across the three pillars of assistance can be identified. Such efforts inspire effective partner approaches and should align with the respective mandates and comparative advantages of different actors, and strive to contribute to national-level collective outcomes, if available.

USAID's [Programming Considerations for Humanitarian-Development-Peace Coherence: A Note for USAID Implementing Partners](#), identifies seven core principles:

- Uphold and respect humanitarian principles to ensure humanitarian assistance remains unhindered and effective;
- Plan jointly and seek a common agenda;
- Strengthen communication, coordination, and learning platforms across HDP pillars;
- Strategically sequence, layer, and integrate across HDP assistance, where appropriate;
- Promote shock-responsive programming and data-driven adaptive management;
- Champion conflict integration and enable or build peace where possible; and
- Ensure programming with, by, and through local partners and systems.

### ***3.6 Climate Adaptation and Disaster Risk Reduction***

Climate change will increase frequency and intensity of disasters and food insecurity, increasing the need for humanitarian assistance as well as leading to social disruption, displacement, political instability and exacerbating fragility, conflict and violent extremism. DRR lays the foundation for resilience and adaptation by reducing the impact of recurrent disasters, which enables communities and countries to invest resources for development and bounce back from crises without consequential losses.

BHA supports activities in countries that are highly vulnerable to disasters, climate change and complex emergencies to reduce impacts. DRR interventions can address multiple technical areas, adopt a multi-hazard approach, and applicants can implement them in either non-conflict or conflict settings with a wide variety of goals. Applicants should propose interventions that address the underlying causes of disasters to strengthen local capacities to anticipate, prepare for, and reduce risks, and recover rapidly from shocks. Applicants should consider approaches that integrate flexibility and adaptability to anticipate and respond quickly to the impact of shocks when responding to applicable rounds.

Applicants are encouraged to take into account the risk from future climate and other natural hazards and not exacerbate risks further or create inequities among the population (see Section 18.2 Climate in the [BHA EAG Sector Requirements](#) for more information).

### ***3.7 Use of Evidence and Learning for High Quality and Adaptive Management***

BHA activities should leverage the learning from past and ongoing programming to improve program quality and apply evidence-based approaches to support communities who are in highly vulnerable conditions on a path towards sustainable change and out of extreme poverty and chronic vulnerability. Building upon and applying knowledge from past emergency and development activities in order to gain a more holistic understanding of the context-specific, social, political, economic, cultural, and climatic factors that affect vulnerability, stability, resilience, and growth will allow for adaptive management and influence the outcomes. Effective learning approaches work to anticipate and mitigate context-specific shocks and stressors and potential unintended consequences of interventions through data utilization, experiential learning, and adaptive management. BHA encourages innovative approaches that actively and

continually engage diverse community members, including those who have been marginalized and underrepresented, and incorporate their feedback and solutions into activity design, implementation strategies, management approaches and monitoring, and evaluation. Applicants are encouraged to reference and build on existing and emerging evidence and learning in the relevant sector, target populations, and geographic areas.

Please note that past BHA programmatic experience and existing evidence demonstrate that the following developmental approaches are unlikely to yield a sustainable impact. Therefore, BHA would require a strong justification in order to consider supporting the following approaches in any applications under rounds to this MY APS:

- Weather-based index insurance as a stand-alone intervention or without a clear plan for transition to another entity, such as a national social protection system;
- Improved cook stoves/ovens/alternative fuels without an assessment of the current situation, detailed explanation of the intervention and intended results, and monitoring and evaluation plan complete with intervention-specific outcome indicators;
- Free or highly subsidized agricultural inputs and agriculture related technologies, including seed, fertilizer, implements, tools, animals, veterinary products and associated training without a clear strategy for how these investments contribute to helping households sustainably access these inputs after the project subsidies ends. In particular, partners should ensure that provision of inputs or services does not undermine private sector markets (do no harm).
- Keyhole or tower gardens;
- Volunteers in place of staff as frontline change agents. Reliance on volunteers to serve as lead mothers or lead farmers is, however, acceptable as these approaches are designed to build the capacity of community members as locally respected catalysts for community-based change;
- Exclusive reliance on point-of-use water treatment for provision of safe water is not encouraged in multi-year programming as the focus should be on sustainable basic water service;
- Community-based early warning systems that focus on collection of weather/climate data and forecasting by the communities or project staff that are not linked to the national/local warning authorities' weather or early warning systems. We do encourage community centered early warning systems that enable access and dissemination of early warnings/alerts from national/local warning authorities to enable action at local/community levels.
- Weather stations at community level that are not linked to and sustained by local/national government authorities/networks;
- Interventions proposed within or adversely affecting designated environmentally protected areas, such as national forests, Ramsar wetlands, marine sanctuaries, etc.;

- Measures that aim to control flooding such as sea walls, flood walls, levees, river/channel straightening or bypass, dikes, gabion walls (river, urban, flash floods or coastal flooding).

## **SECTION B: FEDERAL AWARD INFORMATION**

Funding opportunities under this MY APS will be authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting awards will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID’s supplement, 2 CFR 700, as well as the additional requirements found in Section F.

The FAA authorizes USAID to provide development assistance. BHA receives certain funds appropriated for this purpose. These funds are referred to as Community Development Funds (CDF) and may be used to support BHA resilience activities. Funding for resilience activities through CDF funds will be signaled in applicable rounds.

The Food for Peace Act, Section 201 (7 U.S.C. 1721) General Authority, authorizes the USAID Administrator to establish programs to provide agricultural commodities to foreign countries on behalf of the people of the United States. The Resulting awards funded with Title II are subject to 2 CFR 200 -Uniform Administrative Requirement, Cost Principles, and the Audit Requirements for Federal Awards, and USAID’s supplement, 2 CFR 700. It is also subject to 22 CFR 211.

For more information, particularly concerning eligible uses of Section 202(e), CDF, and Internal Transport, Storage and Handling (ITSH) funding, please refer to the current [BHA Functional Policy 20-01](#) on these funds.

### **I. Estimate of Funds Available and Number of Awards Contemplated**

This MY APS is not supported by specific funds. The source of funding, estimated funds, and number of awards contemplated will be specified in each round. The value of awards and expected number of awards will be determined by assessed needs and context and is subject to the availability of funds. BHA establishes no minimum or maximum award value or number of awards through this base APS. Rounds will specify limits for specific opportunities. As determined by the source of funding, award recipients will be required to comply with the legal and USAID policy requirements that govern the Agency’s programming

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

Section 7 of the Global Food Security Act of 2016 amended the FAA and authorized the use of the IDA account to provide emergency food assistance, including in the form of funds, transfers, vouchers, and

agricultural commodities acquired through local, regional, and international procurement (LRIP), to meet emergency needs arising from manmade and natural hazards.

Public international organizations (PIO) are subject to different requirements, so USAID reserves the right to make awards to such organizations on different terms and conditions than those made to private voluntary organizations (PVOs) and cooperatives.

## **2. Expected Performance Indicators, Targets, Baseline Data, and Data Collection**

The expected performance indicators, targets, baseline data, and data collection will be provided in each round when issued.

## **3. Start Date and Period of Performance for Federal Awards**

The period of performance will be specified in each round to this MY APS, but will be between 24 months (two years) and 60 months (five years). Applicants must propose a timeframe for the proposed activity based on the needs assessment.

Applications for ER4, RFSA, and Learning and Capacity Strengthening activities will be considered for periods of performance up to five (5) years. Please review round-specific details.

## **4. Substantial Involvement**

USAID may award either grants or cooperative agreements under this MY APS. Cooperative agreements will require substantial involvement, as applicable to the application.

In accordance with the [ADS 303.3.11](#), a cooperative agreement, as distinguished from a grant, provides for substantial involvement between the Federal awarding Agency and the recipient in carrying out the activity contemplated by the Federal award (the examples of substantial involvement below are a guide, not a checklist). The Agreement Officer will determine the appropriate level of substantial involvement based on the programmatic requirements of the award and include only those elements of substantial involvement as needed. Examples of potential areas of substantial involvement include the following:

- Approval of the recipient's annual implementation plans during performance.
- Ability to immediately halt an activity if the recipient does not meet detailed performance specifications (for example, construction specifications).
- Review and approval of one stage of work, before work can begin on a subsequent stage during the period covered by the cooperative agreement.
- Review and approval of substantive provisions of proposed sub-awards or contracts (see definitions in [2 CFR 200.1](#)). These would be provisions that go beyond existing policies on Federal review of recipient procurement standards and sole-source procurement.
- Involvement in the selection of key recipient personnel.

- USAID and recipient collaboration or joint participation, such as when the recipient's successful accomplishment of activity purposes would benefit from USAID's technical knowledge.
- USAID monitoring to permit specific kinds of direction or redirection of the work because of the interrelationships with other projects or activities.
- Direct USAID operational involvement or participation to ensure compliance with statutory requirements such as civil rights, environmental protection, and provisions for the handicapped that exceeds USAID's role that is normally part of the general statutory requirements understood in advance of the award.

Read the rounds carefully to determine the extent of substantial involvement that applies to each round.

## **5. Authorized Geographic Code**

The geographic code for the procurement of commodities and services under rounds to this MY APS is anticipated to be 935; USAID reserves the right to modify this herein or within rounds as applicable.

## **6. Nature of the Relationship between USAID and the Recipient**

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the BHA Multi-Year Annual Program Statement which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the activity purposes and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, activity purposes, and the terms and conditions of the Federal award.

## **SECTION C: ELIGIBILITY INFORMATION**

### **I. Eligible Applicants**

Applicants must review each round for specific eligibility requirements. Each round may restrict eligibility depending on the funding source of that particular round. All applicants must comply with all USAID required rules and requirements. In general, U.S. and non-U.S. public, private, for-profit, and nonprofit organizations, as well as institutions of higher education, public international organizations, faith based, and non-governmental organizations, are eligible to apply to APS rounds. Further, the organization must be a legally-recognized, organizational entity under applicable law, legally registered in a country.

USAID welcomes applications from organizations that have not previously received financial assistance from USAID.

Faith-based organizations are eligible to apply for federal financial assistance on the same basis as any other organization and are subject to the protections and requirements of Federal law.

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

According to the 2018 FFP Act, eligible organizations shall be— (1) a PVO as defined in 22 CFR 203, or (2) an intergovernmental organization, such as WFP. This does not preclude other organizations from working as sub-recipients or sub-implementers of the prime. Applicants may include small businesses as sub-recipients as appropriate.

To be considered for a Community Development Fund (CDF)-funded award, the applicant must be a U.S. or non-U.S. NGO or consortium, or an organization designated by USAID as a PIO.

In the case of a consortium, the applicant must be the consortium lead and must identify any other members of the consortium or individuals tied to the implementation of the activity as described in the application, along with all sub-awardees. The respective roles of any other members of the consortium or individuals, including all sub-awardees, must be described and separate detailed budgets must be attached for each.

Note that organizations may be proposed as sub-awardees within more than one application. Applicants may sign and submit with their application, non-exclusive letters of commitment with the sub-awardees they propose to work with if they decide to. However, BHA neither expects, nor desires exclusivity for sub-awardees.

USAID encourages applications from potential new partners (i.e., those who have not received any USAID funding previously) and local organizations. See Section C.3. below and [WorkWithUSAID.org](https://www.usaid.gov/work-with-usaid) for more information and resources for organizations new to working with USAID.

## **2. Cost Sharing or Matching**

Cost sharing will be determined during each round. If an applicant proposes cost share and receives an award, the cost share will be incorporated into the award budget. However, since cost sharing is not required, in accordance with [2 CFR 200.306](https://www.ecfr.gov/current/title-2/chapter-I/subchapter-A/part-200/subpart-306), it will not be considered during the merit review of applications.

### 3. Additional Requirements for New Applicants

USAID encourages applications from potential new partners (i.e., those who have not received any USAID funding previously) and local organizations. Applicants are highly encouraged to propose approaches that include local contributions demonstrating strong commitment to sustainability and self-reliance. This may include private sector engagement that supports the activity's goal and purposes.

As for all applicants, new applicants must ensure they have a Unique Entity Identifier (UEI) and an active System for Award Management ([SAM](#)) registration. SAM is managed by the General Services Administration and is the official website for registering to do business with the Federal Government. Instructions and informational resources for organizations registering for the first time are available on the website. The SAM registration process may take many weeks to complete, so applicants should begin the process early. Applicants must also have a reputable bank account with a U.S. correspondent bank to receive payments from USAID.

Applicants that have never received a cooperative agreement, grant, or contract from the U.S. Government are required to submit a copy of their accounting manual, or file a self-certificate of compliance with USAID standards. If a copy of the manual has already been submitted to an agency other than USAID, the applicant must list which federal agency or office and provide a point of contact with contact information. This certificate template is available from the USAID point of contact listed in this MY APS upon request.

#### *For Grants and Cooperative Agreements*

If an applicant has not received U.S. Government or USAID funding in the past five years for grants or cooperative agreements, pursuant to [ADS 303.3.9.1](#), BHA is required to conduct a pre-award survey to assess the risk in providing the organization federal funding. The purpose of the survey is to determine whether a prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills to achieve the purposes of the activity. Applicants should take this into account during the application process. A pre-award survey can occur before, during, or after applying for BHA funding. BHA will contact organizations before performing a pre-award survey. Pre-award surveys are not required for Fixed Amount Awards, and instead an Entity Eligibility Checklist shall be performed in accordance with [ADS 303mak](#).

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



#### **4. Other**

USAID will not accept applications under this MY APS from individuals, parastatal organizations, or U.S. Government departments and agencies.

### **SECTION D: APPLICATION AND SUBMISSION INFORMATION**

#### **1. Agency Point of Contact**

Email: [bhaglobalmyaps@usaid.gov](mailto:bhaglobalmyaps@usaid.gov)

#### **2. Questions and Answers**

Questions regarding the base MY APS should be submitted to [bhaglobalmyaps@usaid.gov](mailto:bhaglobalmyaps@usaid.gov). Questions regarding each round should be submitted to the email address identified in that round no later than the date and time indicated on the cover letter. Any information given to a prospective applicant concerning this MY APS will be furnished promptly to all other prospective applicants as an amendment to this MY APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

#### **3. General Content and Form of Application**

Preparation of Applications:

Each applicant must furnish the information required by this MY APS. Applications must be submitted in two separate parts: the Technical Application and the Cost Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 7, below, for information on the content specific to the Technical and Cost applications. The Technical application must address technical aspects only while the Cost Application must present the costs, and address risk and other related issues.

Both the Technical and Cost Applications must include a cover page containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name
- Notice of Funding Opportunity number
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303.

Any erasures or other changes to the application must be initialed by the person signing the application. Applications signed by an agent on behalf of the applicant must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

All documents must be completed in accordance with the format detailed in this MY APS and must adhere to the following:

- Written in English and in 12-point Times New Roman font;
- Text in tables or charts may be 10-point Arial Narrow font;
- Narratives must be prepared in Microsoft Word or compatible equivalent with print areas set to 8.5 x 11 inch, letter-sized paper with one-inch margins, left justification and a footer on each page including page number, date of submission, proposed country, and applicant name;
- Spreadsheets must be prepared in Microsoft Excel or compatible equivalent, with print areas set to 8.5 x 11 inch, letter-sized paper;
- Official (signed) documents, memoranda, and certifications may be submitted as Adobe PDF files, with one-inch margins; and
- Faxed or hard copy applications are not accepted.

The applicant may be required to submit certain documents in order for the AO to make a determination of financial responsibility. Applicants may be required to submit any additional evidence of responsibility, as requested, to support the determination, such as:

- Adequate financial resources or the ability to obtain such resources as required during the performance of the award;
- Adequate management and personnel resources and systems;
- Ability to comply with the award conditions, considering all existing and currently prospective commitments of the applicant, both NGO and governmental;
- Satisfactory record of performance - unsatisfactory past relevant performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance or the applicant has taken adequate corrective measures to ensure that it will be able to perform its functions satisfactorily; and
- Integrity and business ethics, along with qualifications and eligibility to receive a grant or cooperative agreement under applicable laws and regulations.

Applications are submitted at the risk of the applicant, and all preparation and submission costs for the application are at the applicant's expense.

#### **4. Application Submission Procedures**

The timeline for application submissions will be specified in each round. Applications in response to rounds under this MY APS must be submitted no later than the closing date and time indicated in the applicable round. Late applications may be considered at the discretion of the Agreement Officer.

In certain circumstances, BHA may request applications to be submitted according to 'phases'. This phased approach may include but not be limited to:

- Submitting a Concept Paper
- Providing Oral Presentations
- Submitting a Full Application
- Participating in a Pre-Award Co-Creation workshop(s)

The phases shown are illustrative and do not necessarily represent the exact sequence of a phased approach applicants may see in a round. Applicants should refer to individual rounds where BHA will detail a phased approach, if applicable, and the exact submission requirements for each phase. Applicants should note that BHA reserves the right to not incorporate a phased approach but may request full applications in response to a specific round.

Applications must be submitted by email to the address specified in the round. Note that emails including all attachments must not exceed 10 megabytes (MB). Email submissions must include the MY APS solicitation number along with the subsequent round number and applicant's name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if the cost application is being sent in two emails, the first email should have a subject line that states: "[MY APS round number], [organization name], Cost Application, Part 1 of 2".

USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. that applicants consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that email is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline.

There may be a problem with the receipt of \*.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID cannot guarantee their acceptance by the internet server.

## 5. Technical Application Format

**BHA will require applicants to submit technical applications using the format below, unless otherwise stated in the applicable round. For ease of reference the chart below provides guidance according to round type. It covers the requirements according to the technical application format and other required documents required at submission.**

**Required application structure at submission, according to round type.**

	Early Recovery, Risk Reduction, and Resilience (ER4)	Resilience Food Security Activity (RFSA)	Learning and Capacity Strengthening
<b>Required Sections</b>			
Cover Page	Yes	Yes	Yes
Executive Summary	Yes	Yes	Yes
Activity Design	Yes	Yes	Yes
Management Structure and Institutional Capacity	Yes	Yes	See round
<b>Other Required Document</b>			
Host Country Agreement	Yes	Yes	Not required
Executive Summary Table and Annual Estimate of Requirements	See Round	Yes	Not required
Gender Analysis Summary	Yes	Yes	See round
Supply Chain Management	Yes	Yes	Not required

	<b>Early Recovery, Risk Reduction, and Resilience (ER4)</b>	<b>Resilience Food Security Activity (RFSA)</b>	<b>Learning and Capacity Strengthening</b>
Accountability to Affected Populations	Yes	Yes	See round
List or Map of Targeted Intervention Geographic Areas	Yes	Yes	See round
Organizational Chart	Yes	Yes	Yes
Curriculum Vitae of Key Personnel	Yes	Yes	Yes
Letters of Commitment	Yes	Yes	Yes
Monitoring and Evaluation Plan	Yes	Yes	See round
Collaborating, Learning and Adapting Plan	Yes	Yes	See round
Logframe	Yes	Yes	See round
Interventions Table	Yes	Yes	See round
Code of Conduct Implementation Details	Yes	Yes	Yes

### **Technical Application Format**

- a) Cover Page
- b) Executive Summary
- c) Activity Design
  - Theory of Change
  - Purpose Overview
  - Technical Approach/Program Description
    - Activity Specific Targeting and Participant Selection
    - Market Analysis and Modality Selection (for activities with resource transfers only)
- d) Management Structure and Institutional Capacity
  - Management Approach
  - Activity Specific Staffing Plan
  - Key Personnel

**a) Cover Page (See Section D.3 above for requirements)**

**b) Executive Summary**

The executive summary must succinctly summarize:

- The problem statement, including the underlying causes and major determinants of the need to be addressed;
- It must also include an overarching Theory of Change (ToC) that describes the hypothesized series of changes to address the underlying causes of humanitarian need; and
- The proposed set of interventions to achieve the outcome of the proposed activity.

**c) Activity Design**

The activity design portion of the technical application must include the following components unless otherwise stated in the applicable round.

Theory of Change

A Theory of Change (ToC) statement is the conceptual foundation of an activity's design. Before designing interventions, the applicant must develop a ToC statement. For more complex activities, the ToC will map out the hypothesized series of changes expected to occur in a target population as the result of specific interventions. If a ToC narrative is required it must provide evidence to support the hypothesized change. The narrative must also describe the contribution of other activities (outside of the proposed activity), the basis of the key assumptions, and the pathways to achieve sustainable outcomes. The information can be presented in narrative form or in a visual graphic as prescribed by the round. The ToC must be developed based on evidence, independently confirmed, and not strictly based on project reports.

Purpose Overview

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

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

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

You should include each proposed sector under only one purpose.

For example:

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

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

A Logframe will be required, as an attachment at the application stage (See Section D.6.k).

#### Technical Approach/Program Description

This section of the technical application must describe the activity design, detailing the activity specific purposes, technical approach, and [co-creation](#) process information, if applicable. Applicants must base the contents of this section of their application on the guidance provided under the applicable round. However, unless explicitly stated otherwise in a round, all descriptions of the technical approach, must include information regarding activity-specific targeting and participant selection and market analysis and modality selection (for activities with resource transfers only).

#### Needs Assessments and Context Analysis

A needs assessment and context analysis will be required for ER4 or RFSA rounds unless specified in the round.

The needs assessment should include:

- Problem Statement
  - Describe the nature of the problem to address.
  - The major causes of the problem(s);
- Who is affected and how (e.g., people adopting negative coping strategies)? Include source and date of this information.

- How many people are vulnerable or affected? Why are they vulnerable?
- Why provide this intervention now?
- Why are BHA resources needed?

Provide brief contextual information for the proposed activity, not a comprehensive history of the country, region, or problems not related to the proposed activity. When applying for modifications and extensions to existing activities, BHA expects applicants to provide updated information on the context and background data, as well as to use evaluation findings and recommendations as part of their justification statements.

#### Activity Specific Targeting and Participant Selection

Applicants need to consider all people when designing their targeting approaches. Applicants should intentionally and consistently account for community social dynamics and seek to enhance social cohesion as part of their research or program design. Applicants should seek to target households and individuals who are most vulnerable for direct benefits and the activity strategy should use strong secondary adoption approaches to spread the learning to households in less vulnerable conditions. With this in mind as a core principle, applicants must present a targeting strategy that takes into consideration those households most vulnerable to food and nutrition insecurity or natural hazards, as prescribed in ER4 and RFSA rounds. For Learning and Capacity Strengthening rounds, applicants should target participants for the context of the specific studies, tools or research, as per the round, indicating if there are no direct participants but describing who will benefit from the information.

Applicants must propose intervention-appropriate targeting criteria. For interventions that address challenges at the community level, a wide targeting approach might be appropriate, while interventions providing material resources might be better suited for a particular demographic. Applicants should consider and describe how different targeting approaches for various interventions might influence the ability of communities to cooperate on activities; applicants should develop strategies that strengthen social cohesion. Overall, the targeting approach should prominently engage those that are the most vulnerable while also appropriately engaging other members and sectors of the community, factoring in social dynamics. Applicants should be sensitive to the local context in proposing targeting approaches that promote and protect social cohesion and trust, mitigate conflict at the community level, and do no harm as a result of who may (or may not) benefit from interventions.

#### Market Analysis and Modality Selection (for activities with resource transfers only)

If the proposed interventions include resource transfers to participants (such as in-kind commodities, cash transfers, or voucher modalities), applicants must explain how they selected the proposed interventions and modalities based on the population's needs. Include information on any conditionality tied to resource transfers, if applicable, and the appropriateness of that conditionality based on the needs and context. BHA prioritizes providing an efficient and effective response that meets the needs and preferences of affected people through a robust response analysis, including the selection of



modalities (i.e., cash, vouchers, U.S. in-kind, or LRIP). Applicants should utilize a context-driven approach to modality selection, starting from a modality-neutral position.

Applicants should use the criteria in the [Modality Decision Tool \(MDT\) for Humanitarian Assistance](#) (market appropriateness, feasibility, activity purpose[s], and cost efficiency) to guide their decision-making and the content of the narrative.

#### *Construction, Alteration, or Repair of Structures/Infrastructure*

Construction (including alteration and repair) of infrastructure is an output, not a purpose, of BHA programs, but access to infrastructure can be a catalyst for economic development and can help target communities achieve humanitarian objectives. Plans for post-award infrastructure management should consider community needs and existing capacity during each phase of an asset's life-cycle, including identification, construction, operations and maintenance (O&M), and governance. To meet ADS 303 requirements, applicants must clearly describe the proposed scope and types of proposed construction activities within the technical narrative, and include an explicit construction section within their budget and budget narrative.

For the purpose of this policy and in alignment with Agency definitions, the term "construction" includes "construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures." The term does not include emplacement and removal of prefabricated structures and humanitarian shelters that are designed and constructed to be readily moved, erected, disassembled, stored, and reused (i.e., "relocatable buildings"), unless the emplacement and removal of the relocatable building requires site preparation work that otherwise meets the definition of construction." Additionally, [ADS 303mav](#) outlines that this term does not include non-structural, cosmetic work, nor does it include "repairs used in humanitarian assistance which constitute minor fixes to physical elements of a currently serviceable structure, if those repairs do not significantly impact or change the primary mechanical, electrical, or structural elements of the real property."

Examples in the Agency's publicly available policy guidance of common infrastructure types relevant to BHA programming include roads, water harvesting structures, or drinking water points or systems, but these are listed for illustrative purposes only and are not an exhaustive list. Note that construction implemented through For Work should also align with the publicly available [BHA For Work Guidance](#). BHA also will not fund construction activities proposed on contested lands.

Applicants must provide full construction documentation to BHA and receive concurrence from BHA at application submission for all technical design documents where illustrative examples are suitable. (Illustrative designs are not site-specific and used where only minor deviations from the submitted example are expected, such as for standard latrines, handpumps, or emergency shelter kits). Site-specific

technical designs should be included with applications; however, if technical designs are not complete during the initially submitted application, the Technical Activity Narrative must explain why the information is not available, provide as detailed a description as possible of any planned construction work and justify the proposed budget. In these instances, Applicants must include a statement confirming that they will submit all requested complete construction elements for BHA concurrence before procurement and agreement with local government. The following is considered full construction documentation:

*Minimum requirements for initial application*

1. Description of proposed, site-specific construction activities, including the type, scope and summary of potential risks;
2. Estimated cost of construction activities at each site;
3. Total estimated cost of construction activities under the award
4. Geographic location of proposed construction site(s)
5. Inclusion of construction related staff in the organizational chart or staffing plan, including technical qualifications of proposed sub-partner staff (applicants must ensure that staffing qualifications are commensurate with the technical design requirements for any planned infrastructure activities);
6. Description of the proposed labor mechanism and whether any private contractors or laborers will be hired and, if so, a description of the solicitation and procurement process;
7. A clear strategy to provide quality assurance and quality control (QA/QC) of the proposed infrastructure, and to ensure worker and participant safety;
8. A plan for O&M of the investment, focusing on linkages to local systems for sustainability;
9. Any pesticides used in construction (e.g. termiticides, fungicides, rodenticides, wood creosote) are Restricted Commodities and must adhere to USAID Pesticide Procedures, described in Section 6.c) of this MY APS.

*Additional construction documentation (requested at initial application but may be submitted later, with justification)*

10. Bills of quantities (BoQs) and technical drawings for construction activities;
11. If new construction is anticipated, applicants should include a justification for why new construction is proposed rather than repair of an existing structure. For repair or rehabilitation activities, partners will be asked to describe the current level of disrepair of or damage to the structure(s) and submit photos showing current conditions

The items listed above are the minimum requirements for all sectors and technical areas. Rounds may provide additional requirements. Additionally, over the life of an award, implementing partners may be asked by BHA to provide regular construction updates to show completion of work towards implementation plans and documentation of any barriers or challenges.

#### ***d) Management Structure and Institutional Capacity***

The application must detail a management structure that ensures the efficient use of resources, effective and adaptive management, strong technical implementation, and administrative support. The management structure must demonstrate the necessary technical competencies to implement the proposed interventions. The applicant must explain the management structure of the prime, all members of the consortium, and sub-awardees as applicable; personnel management of expatriate and national staff; lines of authority; and communication between organizations and staff.

If proposing sub-awardees or a consortium management model, applicants must describe how the partnerships will be structured, organized, and managed. Applicants must specify the responsibilities of all principal organizations and the rationale for their selection (i.e., organizational strengths and weaknesses, technical expertise, etc.); proposed staff and reporting relationships within and between each of these organizations; and how the consortium will be structured to ensure cohesive and coordinated knowledge sharing, planning, decision-making, and implementation across roles and organizational boundaries. Non-exclusive letters of commitment from consortium members may be submitted with the application.

The application must demonstrate the degree to which the applicant and all proposed consortium members or sub-awardees possess the depth and breadth of institutional capacity, technical expertise, and management systems to plan, implement, and support the pathways and interventions described in the technical approach.

#### **Management Approach**

In addition to the management structure and institutional capacity, applicants must explain how their management approach will ensure holistic, integrated, and adaptive management.

This must include a description of:

- Any planned consortium management approaches and processes that will foster integrated activity planning, implementation, and coordination within the proposed award. The applicant must also describe approaches to collaboration with other USAID funded activities, as applicable, and with other external stakeholders, including government partners, other donor funded activities, private sector actors, local partners, and other change agents;
- Adaptive management approaches at all levels of staffing, including any field agents, that will enable feedback cycles that foster experiential learning and utilization of data from assessments, surveys, research, and routine monitoring. This should include planned approaches to identify and address unintended consequences as well as scenario planning around activity responses to anticipated shocks and/or changes in the political, social, environmental and/or market context unless otherwise indicated in the round. The applicant must describe the management processes that will enable the application of analysis and learning in adjustments to the ToC and other design elements, adaptations to ongoing implementation and management strategies, and

updates to learning strategies and plans. These processes are expected to continue throughout the life of the award. This section of the application may be further detailed in Section 6. j) Collaborating, Learning and Adapting Plan.

- Performance management strategies that will measure the effectiveness of proposed interventions, and an explanation of how these interventions will achieve the intended outcomes in a sustainable fashion. Performance management strategies must include a description of how the applicant will monitor, identify, and link with adaptive management strategies, and address implementation quality issues throughout the life of the award;
- Plan for potential shifts in approaches that adapt to unforeseen events like shocks, management or staffing changes, etc.; and
- Efforts to coordinate, link, and leverage complementary activities implemented by other actors. This must include a description of how the proposed activity will: leverage existing public, private, and donor investments to achieve the goal; complement the activities of the local government and donor-facilitated interventions; and support proposed strategies to leverage other USAID investments in the region.

#### Activity Specific Staffing Plan

Applicants must provide a comprehensive staffing plan that demonstrates their ability to recruit highly qualified staff, including any technical, managerial, M&E, supply chain management, and program learning staff as required in the round that will be sufficient to implement the proposed interventions outlined in the Technical Approach and Management Approach and Staffing sections of the round. The staffing plan must demonstrate:

- Staff with substantive experience in the area being proposed. Necessary staff skills should include adaptive management, integration and coordination, stakeholder engagement, community level governance and planning, SBC, facilitation, and conflict mitigation;
- Planning for recruitment and/or training of any field agents to ensure skills in community level engagement, adaptive management, and working along feedback cycles;
- How staff, and consultants as required, will be encouraged to work collaboratively across teams; and
- How 'Refine and Implement or Contextualization' (RIC), if required in a round, will be supported with the appropriate technical expertise, including the increased need for specialized skills during the refinement or contextualization period in formative research, context assessment, implementation research, and participatory community consultation. The plan must also address how the activity will adjust staffing support based on learning during refinement or contextualization.

#### Key Personnel

Specific key personnel positions will be designated in rounds to the MY APS.

## 6. Other Supporting Documents

### *a) Host Country Agreement*

The Host Country Agreement (HCA) will be required prior to finalization of a Title II-funded award. The HCA establishes the terms and conditions by which an applicant will be able to conduct a Title II activity in a specific country in accordance with the applicable requirements of USAID 22 CFR 211. If the activity will be implemented in a number of countries within a region, an HCA must be negotiated with each government. Although 22 CFR 211 only strictly applies to the Title II account, **BHA requires an HCA for all food security activities.**

### *b) Gender Analysis Summary*

In this summary, the applicant includes illustrative examples of specific gender norms or dynamics that could facilitate or impede progress towards results within the ToC framework. Applicants should provide examples of information to be collected that will help to clarify the issues identified. Applicants are encouraged to take into consideration the interplay of gender and other social dimensions such as age, ethnicity, origin, and social cohesion that play a role in determining both opportunities and constraints for women, men, girls, and boys. Additional requirements may be specified in rounds as required. See the related [Technical References on Gender](#) for more information.

If implementation of the activity will engage participants, applicants are encouraged to consider how proposed interventions could affect women and girls' time use, autonomy, safety, or authority, and how this will be taken into account in planning and monitoring interventions. Applicants are encouraged to consider how equitable participation may be achieved and how interventions could exacerbate, or affect protection risks such as gender-based violence (GBV) at the household and community level, as well as sexual exploitation and abuse of recipient communities. Applicants should summarize the steps the activity will take to prevent or mitigate the occurrence of GBV<sup>2</sup> (refer to the [USAID PSEA Policy](#)) and how the applicant will track interventions over time to ascertain any unintended consequences related to gender and GBV, and close any feedback loops received from the community and address GBV issues linked to interventions. The summary should also identify the team that will conduct the gender analysis, discuss the tools they will use for data collection, provide an estimated budget, and identify the process for incorporating analysis findings into the ToC and implementation plan.

Applicants will not be restricted to the specific details discussed in the summary should their application be funded, but it must be evident from the summary that the applicant has:

- An understanding of what a gender analysis entails within the context of a BHA activity;
- The capacity to carry out the gender analysis; and
- The intention to incorporate the analysis findings into the ToC as appropriate, and a practical means to do so.

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<sup>2</sup> See Administrator's [Action Alliance for Preventing Sexual Misconduct \(AAPSM\)](#) for additional detail.

Applicants must consider gender-related factors throughout each section of the application. Integration of a gender informed and responsive approach must be context-appropriate and reflected throughout a multi-year activity application. Empowerment of women and girls in all their diversity—promoting their self-determination and agency—and transforming gender relations for the better are equally vital for attaining equitable development outcomes that will be sustained over time.

Consistent with [USAID's Gender Equality and Female Empowerment Policy \(USAID 2023\)](#), BHA multi-year activities under ER4 or RFSA rounds are required to complete a gender analysis within the first year to inform design and strengthen programming, unless specified in the round. Please refer to [ADS 205: Integrating Gender Equality and Female Empowerment in USAID's Program Cycle](#) for more information.

### ***c) Supply Chain Management***

Applicants proposing to manage commodities in any sector or technical area must submit a Supply Chain Requirements Annex detailing their supply chain management operations (see requirements in each round). Even in fluid operating contexts, BHA partners must appropriately plan for supply chain management, including procurement, transport, and warehousing commodities. BHA recognizes that in some contexts, applicants may not be able to fully plan for all aspects of supply chain management when preparing an initial application. In these cases, BHA requires applicants to provide all details available during the application submission, and to clearly note what information remains unknown.

In this section, BHA defines commodities and services as any purchased materials, services, or equipment that directly benefit participants. Commodities and services are critical in implementing activities, and includes procuring financial services. The below requirements apply to all applications that include procuring, warehousing, or transporting commodities or procuring services. When procuring, transporting, storing, and distributing USAID-restricted commodities and pharmaceuticals, applicants must follow the applicable USAID regulations, including [ADS Chapter 310](#) (Source and Nationality), [ADS Chapter 312](#) (Restricted and Ineligible Goods), [ADS Chapter 313](#) (Ineligible Suppliers), [22 CFR 228](#), and [22 CFR 211](#), as they may affect the activity design, budget, timing of award, or timely activity implementation and post-award administration.

Refer to Section II of the [Common Requirements of the EAGs](#) for additional details on BHA requirements for livestock, seeds, seedlings and cuttings, fertilizers, insecticides, pesticides, insecticide treated materials and human and veterinary pharmaceuticals.

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

detailed below. Applicants can provide the information listed below in a single document or in a set of documents. Applicants must submit their organizational policies (e.g., procurement, warehousing) in full.

1. Applicants planning to use BHA funds for any supply chain-related activities, must briefly describe in the Supply Chain Requirements Annex the logistics and operational structures and resources available to support the project. Include logistics teams, offices, warehouses, and transport relevant to achieving the purpose(s) of the proposed activity.
2. Applicants planning to use more than \$50,000 of BHA funds for procurement, combined, must provide:
  - A procurement plan including:
    - List of commodities, services (including those for warehousing and transport), and equipment they plan to use for procurement, including unit descriptions and costs per unit. If applicable, list warehousing and transporting food separately from other transport and warehousing services;
    - Planned source and origin of procurement (international, regional, or local);
    - Timeframe when procured commodities, services, and equipment will be ready for distribution;
    - Quality control processes and concerns, including third-party inspection or other methods of quality control that will be used to ensure the received commodities/services match the original specifications;
    - The steps that will be taken to facilitate commodity importation, if applicable, and any anticipated importation issues; and
      - Note: If food procurement is involved, applicants need prior approval for purchase location changes.
  - A procurement policy that applies in the country of operation and that was revised within five years of submitting the application. This procurement policy must include the bidding policy, basic details about vendor selection, and the process for approving any deviations from policies. If an applicant intends to deviate from its standard organizational procurement practices under the proposed activity, they must outline, in the application package, the procurement policies that will apply.
  - A transport plan detailing how the applicant will transport the commodities from vendor to warehouse and distribution sites. In the transport plan, applicants must include a risk mitigation statement that describes how they will mitigate risks such as accidents, damage, diversion, and theft of commodities.

Applicants proposing USAID-financed ocean shipment of commodities must comply with the [U.S. Government Cargo Preference Act](#) as described in [ADS 315](#). USAID complies with the Cargo Preference Act at an Agency level. If an application is funded, the award recipient will be required to contact the Bureau for Management, Office of Acquisition and Assistance, Transportation Division

(M/OAA/T) prior to contracting for ocean transportation to ship commodities purchased or financed with USAID funds under the award. M/OAA/T will determine the flag and class of vessel to use for shipment.

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

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

In the recipient's request to M/OAA/T, they must specify if the selected airline/aircraft is CAA-certified.

3. Applicants planning to store commodities to support BHA-funded project(s) must:
  - Submit a storage plan (number of warehouses, storage space required) detailing the adequacy and capacity of storage facilities.
  - Demonstrate that inventory oversight measures are in place to account for and secure commodities until they are distributed.
  - Submit a copy of the warehouse management policy that applies in the country of operation and that was revised within five years of application submission.

Applicants planning to use pesticides in warehousing must adhere to the restricted commodities requirements for pesticides described in Section 11 of the [Common Requirements of the EAGs](#).

4. Applicants must provide details about all generators or fleet vehicles—including cars, trucks, scooters, motorcycles, boats, and aircraft—they plan to use in the proposed activity. Applicants must demonstrate that these generators and fleet vehicles are sufficient to support the activity. Applicants must demonstrate their capacity to manage a vehicle fleet funded by BHA. Provide:
  - A list of vehicles and generators (type, make, and model) that are owned or will be rented or purchased to support the proposed activity.
  - A management plan that includes servicing and maintaining vehicles and generators that will be used in the activity.
  - The organization's current fleet management policy that applies in the country of operation and that was revised within five years of application submission.
5. Concrete measures the applicant has taken to implement sustainable practices throughout the supply chain. These may include:
  - Implementing supply chain practices to reduce the social, environmental, and economic impacts of procurement, transport, and storage. These practices may include sourcing responsibly and including sustainability as an evaluation criteria when selecting vendors.
  - Reducing packaging or substituting other environmentally friendly packaging options for commodities that involve substantial single-use primary, secondary, or tertiary plastic packaging.



- Using sustainable warehouse practices (e.g., rainwater catchment, solar panels, recycling, natural ventilation, updated air conditioners) and a waste management plan to reduce the organization's environmental impact.
- Taking measures to select transportation mechanisms and types of vehicles and generators with more efficient carbon emission.
- Disposing of aging vehicles and generators (more than eight-ten years old).
- Reducing or replacing generators with sustainable energy sources where possible.

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

#### ***d) Accountability to Affected Populations (AAP)***

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

BHA requires evidence that partners are addressing AAP throughout the program cycle. Applicants must submit an AAP plan or framework specific to the interventions they include in their application. The AAP plan should describe the following:

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

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

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

### ***e) List or Map of Targeted Intervention Geographic Areas***

As specified by round, applicants may be required to submit a list or map clearly identifying targeted geographic areas, either as part of the technical narrative or as a separate annex. Maps must show any proposed areas of implementation and ongoing activity areas at the Administrative Level 2 (i.e. Provincial level or local equivalent) by the applicant, consortium members, or others if applicable. The maps or list must clarify which implementing partner is expected to implement in each area.

### ***f) Organizational Chart***

The organizational chart should include the structure of the prime applicant, all members of the consortium, and sub-awardees as applicable. If possible, the chart should include locations, supervisory hierarchies, and relationships between all awardees.

### ***g) Curriculum Vitae of Key Personnel***

The application must include curriculum vitae of key personnel as detailed in the round.

### ***h) Letters of Commitment***

BHA encourages letters of commitment from partners and staff, if applicable. Applicants should refer to rounds for specific guidance.

### ***i) Monitoring and Evaluation Plan***

#### ***1) Monitoring and Evaluation Plan***

Applicants may be asked to submit a Monitoring and Evaluation (M&E) Plan that describes the applicant's planned approach for M&E. An M&E Plan is a road map for the activity's M&E implementation. The primary purpose of the M&E Plan is to document an activity's M&E processes, methods, and elements in sufficient detail. A thorough M&E Plan demonstrates to BHA that an applicant has a rigorous system for monitoring and evaluating activity performance that produces accurate, meaningful, and useful data for decision making; and is also incorporating participant feedback throughout the activity. Applicants should refer to each round for specific guidance on M&E Plan requirements.

IPTT and performance indicator reference sheets will be required post-award and based on round type.

#### ***2) Monitoring Strategy***

If an M&E Plan is required, a monitoring strategy must be part of that plan. The strategy should include:

- A broad description of monitoring processes, such as how base values and targets will be established;
- How data will be collected, transferred, stored, managed, safeguarded, and used;

- How the feedback mechanism is structured and will collect, monitor, and address feedback in a timely manner, and how participant feedback will be incorporated and inform the activity throughout implementation;
- How the activity will use quantitative and qualitative performance monitoring data to monitor the activity's performance and logframe; and
- How the activity will use secondary data or information to monitor conditions external to the activity such as environmental, security, cultural, market-related, or other factors that may affect implementation.

Post-award, partners may be required to update the monitoring strategy, per the round.

### 3) M&E Staffing and Budget

As detailed in the round, applicants may be required to submit a detailed description of M&E staffing; and a basic plan for strengthening capacity of all awardees and sub-awardees who will participate in any form of data collection, analysis, or use.

Applicants may also be required to submit an itemized budget for M&E formatted as a table as one component of the M&E Plan, which should include as appropriate: key monitoring staff, data collection, Management Information System (MIS) development and management, feedback mechanism, logistics, partner-led evaluations, software, hardware, supplies, capacity building, and any other costs related to M&E. The M&E budget should not include studies or formative research conducted; it should not include costs for baseline, final, or interim evaluations unless those will be partner-led. Applicants are encouraged to follow requisite best practices and Agency policy, and are commensurate to the monitoring and evaluation needs of the activity. This may vary slightly by award size, with larger-budget activities spending a smaller percentage, and smaller-budget activities spending a higher percentage. The total activity budget comprises the sum of all funds that will be applied to any part of the proposed activity.

### 4) Evaluations

The specific evaluation requirements will be detailed in the round. BHA may choose to conduct an external evaluation, or the partner may be requested to budget for an evaluation. The round will also describe the preferred evaluation approach. BHA may choose to request an impact evaluation, such as a randomized control trial or other experimental or quasi-experimental designs, or a performance evaluation. In the case that an impact evaluation approach will be pursued, BHA will describe the operational considerations for applicants including potential randomization.

### ***j) Collaborating, Learning, and Adapting Plan***

Applicants may be required to develop an activity-specific collaborating, learning, and adapting (CLA) plan to describe how the activity will identify emerging knowledge, opportunities, and unintended consequences; and provide the systems, processes, and resources necessary to adjust design and

implementation accordingly. In accordance with points 1 and 2 below, the CLA plan should build upon the technical and management approaches and link to and complement M&E data utilization efforts, risk management strategies, and efforts to ensure accountability to affected populations, as relevant to the activity.

### 1) CLA Plans for Applicants Responding to ER4 or RFSA Rounds

Applicants responding to ER4 and RFSA rounds will be expected to describe specific approaches, practices, and planning that will enable the activity to:

1. Coordinate, collaborate, and consult with key stakeholders, which may include communities, local government, civil society, other Mission and donor funded projects, and local researchers and academics;
2. Systematically identify, prioritize, and fill known and emerging knowledge gaps, including ongoing efforts to understand and assess context, community needs and capacities, unintended consequences, and possible new approaches and interventions;
3. Manage adaptively, including capturing, analyzing, sharing, and applying results, new evidence, lessons learned, reflections, and promising practices;
4. Anticipate and plan for potential changes in context and integrate scenario planning into the activity's ongoing learning; and
5. Operationalize learning in annual work planning.

In addition, applications addressing RFSA rounds may be required to submit information related to the applicant's participation in post-award co-creation under BHA's Refine and Implement or Contextualization (RIC) model. These requirements will be described in the relevant round.

### 2) CLA Plans for Applications Responding to Learning and Capacity Strengthening Rounds

Most learning and capacity strengthening rounds will not require a CLA plan. However, if the round requires a CLA plan, applicants will be expected to describe specific approaches, practices, and planning that will allow the activity to:

1. Engage in participatory and stakeholder-guided processes to determine needs, respond to demand, and prioritize action.
2. Ensure that utilization of activity results by the wider humanitarian community is a focus from the start of planning and includes robust knowledge sharing, dissemination, and end-user engagement.
3. Adapt and respond to dynamic rapidly-changing operating environments to better meet emerging stakeholder needs and capitalize on new approaches and new opportunities.

### ***k) Logframe***

A Logframe shows the causal linkages between activity outputs, outcomes, and goals and identifies assumptions and potential risks that are critical to the success of an activity. Please provide a detailed Logframe as an attachment. A suggested Logframe template is included in the IPTT template (see Resources - M&E) on the [BHA RFSA page](#).

### ***l) Interventions Table***

BHA may require applicants to present a list of every proposed individual intervention organized by purpose and sub-purpose. Applicants should refer to each round for specific guidance on Interventions Table requirements.

## **7. Cost Application Format**

The Cost Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The Cost Application must illustrate the entire period of performance.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.206. Applicants should not submit any additional information with their initial application.

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

### ***a) Cover Page (See Section D.3 above for requirements)***

### ***b) SF 424 Form(s)***

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at <https://www.grants.gov/web/grants/forms/sf-424-family.html>

Failure to accurately complete these forms could result in the rejection of the application.

### ***c) Required Certifications and Assurances***

The applicant must complete the following documents and submit a signed copy with their application:

- (1) "Certifications, Assurances, Representations, and Other Statements of the Recipient"  
ADS 303mav document found at <https://www.usaid.gov/ads/policy/300/303mav>
- (2) Assurances for Non-Construction Programs (SF-424B)

#### ***d) Budget and Budget Narrative***

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an award and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in the APS, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable. Budget templates will be specified in the rounds.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of performance.
- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of performance.

The Detailed Budget must contain the following budget categories and information, at a minimum:

1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and support market research.

2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips,

the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant's budget, including those related to fringe and indirect costs.

6) Construction (If applicable) – Subject to the technical review of proposed activities, construction may be authorized for awards made under this APS. Construction activities must be clearly identified by the applicant. Applications proposing Construction activities as defined in ADS 303maw will be required to explicitly explain associated costs in a separate budget line item and provide budget narrative. Per ADS 312, applicants must ensure that restricted commodities are identified in each budget for explicit approval, as required. For more information, particularly concerning eligible uses of Section 202(e), and Internal Transport, Storage and Handling (ITSH) funding, please refer to [USAID/Bureau for Humanitarian Assistance Functional Policies \(BHAFP\) 20-01](#).

7) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs. Otherwise, the narrative should be minimal.

8) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. To better understand indirect costs please see Subpart E of 2 CFR 200. The application must identify which approach they are requesting and provide the applicable supporting information. Applicants can refer to the [Indirect Cost Rate Guide for Non-Profit Organizations](#) for more information.

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration

after the merit review. USAID is under no obligation to approve the applicant's requested method.

#### *Executive Summary Table and Annual Estimate of Requirements*

Applications proposing multi-year Title II commodity programming must include an Executive Summary Table and Annual Estimate of Requirements. This document captures U.S. dollar amounts of the proposed Title II commodity resources and other funding sources for the life of the award. Apparently successful applicants may be required to submit a commodity pipeline. Please see the [Executive Summary Table and Annual Estimate of Requirements](#) available on the BHA website.

#### *Program Income*

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

#### *Climate and Environmental Safeguards*

Budgeting for environmental compliance requires integration of Initial Environmental Examination (IEE) findings with the project budget in a process that ensures adequate funding for environmental compliance and climate risk management requirements. This process must be transparent to ensure that adequate funds are budgeted and remain available over the life of the project for implementation and monitoring of the required environmental compliance measures. Dedicated, qualified environmental staffing at the project or field management levels is necessary to implement USAID environmental regulations and address site-specific issues. It is also recommended to budget for and hold capacity building workshops for other staff for effective environmental safeguarding.

All budgeting for climate and environmental safeguards must follow the framework established through the FSNetwork consultation for the [environmental budgeting toolkit](#). Please ensure that all such compliance costs, including personnel and non-personnel costs, are identified and described in the detailed budget and budget narrative as appropriate.

#### *Budget Narrative*

The budget narrative justifies the costs the applicant proposed in the detailed budget and describes the methodology and assumptions used to develop the cost estimates. It must demonstrate that all costs are reasonable, allowable, and allocable. Applicants must provide sufficient information and details to explain how individual costs were calculated, including sources used to determine the cost basis or "Unit Cost," such as published salary tables, internal policies and/or local labor laws, local market rates, actual costs incurred, historical costs, cost estimates obtained through tenders or bids, or catalog prices, in support



of the proposed budgets for the prime applicant and proposed sub-awardees and contractors<sup>3</sup>. A thorough budget narrative will expedite the cost application review and prevent applicant's staff from having to revisit the application and provide additional information following application submission. The budget narrative format will be specified in the round.

***e) Prior Approvals in accordance with 2 CFR 200.407***

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See [2 CFR 200.407](#) for information regarding which cost elements require prior written approval.

***f) Approval of Subawards***

The applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:

- Name of organization
- Unique Entity Identifier (UEI)
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with [2 CFR 200.332\(b\)](#)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

***g) Unique Entity Identifier (UEI) and SAM Registration***

Applicants must obtain a Unique Entity Identifier (UEI) and register in the System for Award Management (SAM) (<https://sam.gov/>) in order to be eligible to receive federal assistance, such as grants and cooperative agreements. Unless an exemption applies (see ADS 303maz), applicants must be registered in SAM prior to submitting an application for award for USAID's consideration. Recipients must maintain an active SAM registration while they have an active award. Each applicant (unless the applicant is an individual or entity that is exempted from UEI/SAM requirements under 2 CFR 25.110) is required to:

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<sup>3</sup> This requirement does not include contracts for the acquisition of supplies, material, equipment, or general support services

1. Provide a valid UEI for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application.
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video, on <https://sam.gov>.

### ***h) History of Performance***

Unless otherwise specified in a round, only apparently successful applicants will be required to provide history of performance and only upon request of the Agreement Officer. If requested, the apparently successful applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed three (3) years and not to exceed five (5) awards. This includes, as prescribed by the round and the request from the AO, any experience with Title II or IDA resources, LRIP procurement, cash transfers, food vouchers, supply chain management, proposed sector-specific activities, or experience with emergency programming. Applicants may use the format provided in Annex 5 or their own but must ensure the following information is included:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- Location;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last three years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk.

The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment. Applicants may be asked to upload the completed history of performance information to the [AAMP website](#).

### ***i) Branding Strategy & Marking Plan***

The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award

#### **I. Branding Strategy**

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to participants and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
  - i. All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
  - ii. The intended name of the program, project, or activity.
    1. USAID requires the applicant to use the "USAID Identity, comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.
    2. USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.
    3. It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
    4. If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

5. USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- iii. The intended primary and secondary audiences for this project or program, including direct participants and any special target segments.
  - iv. Planned communication or program materials used to explain or market the program to participants.
    1. Describe the main program message.
    2. Provide plans for training materials, posters, pamphlets, public service announcements, billboards, Web sites, and so forth, as appropriate.
    3. Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicants must incorporate the USAID Identity and the message, "USAID is from the American People."
    4. Provide any additional ideas to increase awareness that the American people support this project or program.
  - v. Information on any direct involvement from the host-country government or ministry, including any planned acknowledgement of the host-country government.
  - vi. Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.
- f. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated purposes of the award, the applicant's cost data submissions, and the performance plan.
  - g. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

## 2. Marking Plan

- a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:
  - i. A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
    - 1. Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
    - 2. Technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
    - 3. Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
    - 4. It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
    - 5. Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
  - ii. A table on the program deliverables with the following details:
    - 1. The program deliverables that the applicant plans to mark with the USAID Identity;
    - 2. The type of marking and what materials the applicant will use to mark the program deliverables;
    - 3. When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
    - 4. What program deliverables the applicant does not plan to mark with the USAID Identity, and
    - 5. The rationale for not marking program deliverables.

- iii. Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
  - 1. Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
  - 2. Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
  - 3. Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.
  - 4. Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.
  - 5. Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.
  - 6. Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
  - 7. Conflict with international law. The applicant must identify the applicable international law violated by the marking.
- f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated purposes of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

#### ***j) Funding Restrictions***

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.331 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

Construction may be authorized under this award except where prescribed above(Section D.7.(d) or as prescribed in a round.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.5 of this APS and must meet the source and nationality requirements set forth in 22 CFR 228.

***k) Conflict of Interest Pre-Award Term***

Per [ADS 303mba Pre-Award Terms](#):

***a. Personal Conflict of Interest***

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

***b. Organizational Conflict of Interest***

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

## **SECTION E: APPLICATION REVIEW INFORMATION**

### **I. Criteria**

The Application, including applicable phases as described Section D. 4, will be reviewed and evaluated according to the criteria detailed in each round.

The merit review criteria will be detailed in each round. Applicants should note that criteria prescribed in each round will serve to: (a) identify the significant matters which the applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

Technical and other factors will be evaluated as described by the Technical Application Format detailed in each round. The Technical Application will be scored by a Selection Committee (SC) using the criteria described in each round.

### **2. Review and Selection Process**

BHA staff shall review and determine whether to accept an application after receipt of a complete application (subject to availability of funds). Once an application is deemed complete, BHA will convene a selection committee, led by a chairperson, to review it based on the round evaluation criteria and BHA policies, and make a recommendation to the Agreement Officer who will make the final selection. Following its review of a complete application, BHA may accept the application, deny the application, or withhold a decision on whether to accept or deny the application pending resolution of outstanding issues.

USAID may award the resulting assistance award(s) based on initial applications received, without discussions, negotiations, and/or oral presentations. Therefore, each initial application must contain the applicant's best terms from a technical and cost standpoint. However, as part of its evaluation process, USAID may elect to discuss technical, cost, or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received, use an alternative process (e.g., keep or drop oral presentations), and/or commence negotiations solely with one applicant.

As referenced in Section C. 2, cost sharing is not required in accordance with [2 CFR 200.306](#), it will not be considered during the merit review of applications.

#### ***a) Merit Review***

USAID will conduct a merit review of all applications received that comply with the instructions described in each round.



## ***b) Cost Review***

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the activity and the applicant's ability to perform the activity within the amount requested; (2) whether the applicant's plans will achieve the activity purposes with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

For further information on costs considered allowable, allocable, and reasonable, refer to [2 CFR 200.403 - 2 CFR 200.405](#) for non-profit organizations and [FAR Part 31.2](#) for profit organizations. Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

As stated in the 2 CFR 200.206, and pursuant to [ADS 303.3.9.1](#), BHA is required to assess the risk of applicants with a pre-award survey to assess the risk in providing the organization federal funding. BHA staff will conduct the survey to determine whether a prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills to achieve the purposes of the activity. Applicants should take this into account during the application process. A pre-award survey can occur before, during, or after applying for BHA funding. BHA will contact organizations before performing a pre-award survey. Pre-award surveys are not required for Fixed Amount Awards, and instead an Entity Eligibility Checklist shall be performed in accordance with [ADS 303mak](#).

As part of the pre-award survey, applicants will be required to provide information demonstrating the organization's ability to meet requirements and award conditions in ADS 303.3.9.1, [ADS 303maa](#), and [ADS 303mab](#). This includes areas such as accounting, recordkeeping, and overall financial management systems; system of internal controls; personnel policies; travel policies; property management system; sub-award administration and monitoring; procurement; record retention policies; and program performance monitoring and reporting. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with "specific conditions" (2 CFR 200.208).

The Agency will review Cost Applications according to the major cost categories in the SF424 table below. Please also see the [SF424](#) for additional detail.

**SECTION B - BUDGET CATEGORIES**

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

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## **SECTION F: FEDERAL AWARD AND ADMINISTRATION INFORMATION**

### **I. Federal Award Notices**

The notice of award signed by the AO is the authorizing document, which USAID will provide electronically to the point of contact identified in the application of a successful applicant.

Award of the agreement contemplated by this APS cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

### **2. Administrative & National Policy Requirements**

The resulting award from this APS will be administered in accordance with the following policies and regulations.

22 CFR 211, 22 CFR 216, 2 CFR 200, 2 CFR 700, USAID Standard Provisions, and USAID/Bureau for Humanitarian Assistance Functional Policies (BHAFP), which are available on the USAID website

For US organizations: [ADS 303](#), [2 CFR 700](#), [2 CFR 200](#), and [Standard Provisions for U.S. Non-governmental organizations](#).

For Non US organizations: [ADS 303](#), [Standard Provisions for Non-U.S. Non-governmental Organizations](#).

For PIOs: [ADS 308](#), [Standard Provisions for Cost-Type Agreements with Public International Organizations](#).

See Annex 2, for a list of the Standard Provisions that will be applicable to any awards resulting from this APS.

### **3. Reporting Requirements**

Successful applicants will find specific award administration information and reporting requirements in signed award documents. Awardee must comply with all the reporting requirements in the award, including submission of an annual report. The awardee will be required to submit performance and financial reports that are compliant with 2 CFR 200 Subpart D's Performance and Financial Monitoring and Reporting.

ADS 540 requires awardees to submit documentation created during the course of a USAID award to the USAID Development Experience Clearinghouse (DEC), such as assessments, analyses, studies, articles, baseline surveys, midterm and final evaluations, and appropriate components of the Annual Report (AR). Prior to submitting materials, awardees should contact the AOR to ensure that the final and cleared materials are agreed upon for DEC submission, if required by the terms of the award. Awardees should upload all documents through the DEC. Any dataset created or collected with USAID funding must be submitted to the Development Data Library (DDL). For dataset submission guidance refer to ADS 579.

### **4. Program Income**

If the apparently successful Applicant(s) is/are a non-profit organization, any program income generated under the Award(s) will be added to BHA funding (and any cost-sharing that may be provided) and used for program purposes. However, pursuant to 2 CFR 200.307, if the apparently successful Applicant is a for-profit organization, any program income generated under the Award(s) will be deducted from the total program cost to determine the amount of BHA funding. Program income will be subject to 2 CFR 200.307 (U.S. NGOs) or the standard provision entitled "Program Income" for non-U.S. NGOs. The Recipient shall account for any Program Income in accordance with the Standard Provision set forth in

the Agreement entitled “Program Income.”

## 5. Greening of Humanitarian Assistance: Climate and Environmental Guidance and Requirements

Environmental degradation, climate change, and natural disasters are well-known challenges that can have negative impacts on development assistance, humanitarian aid, sustainable development, and resilience. USAID requires both an environmental impact assessment procedure (as codified in [22 CFR 216](#), Agency Environmental Procedures) and Climate Risk Management for USAID Projects and Activities (as required by [ADS 201mal](#)). For those rounds that will include climate-related activities, the applicant must follow the requirements outlined in the round. The below table outlines the required environmental and climate approaches based on types of programming as covered under rounds to this MY APS.

**Table I. Required methodologies to green BHA actions programmed with IDA, Title II, and Community Development Funds (CDF).**

*\* If funded with IDA, then no action is needed. Follow on actions required for Title II funding.*

	Early Recovery, Risk Reduction, and Resilience (ER4)	Resilience Food Security Activity (RFSA)	Learning and Capacity Strengthening
<b>Required Methodologies</b>			
Environmental Impact Assessment (EIA) per 22 CFR 216	No Action Needed <sup>*4</sup>	Action Needed	No Action Needed*
Climate Risk Management (CRM)	No Action Needed <sup>*5</sup>	Action Needed	No Action Needed*
USAID Pesticide Procedures per 22 CFR 216.3(b)	Action Needed	Action Needed	Action Needed
Host Country Climate and Environmental Procedures	Action Needed	Action Needed	Action Needed
Environmental Safeguards Plan	No Action Needed	Action Needed	No Action Needed

<sup>4</sup> IDA activities qualify automatically for an Exemption without any documentation, per 22 CFR 216.2(b)(1).

<sup>5</sup> IDA activities qualify automatically for an Exception per ADS 201mal.

Actions related to the above required methodologies will be specified in each round, as applicable. Generally “Action Needed” signifies that awardees will be required to take action in order to satisfy compliance requirements (e.g., development and submission of documents/analyses requiring BHA approval prior to activity implementation). By contrast, “No Action Needed” will not require further action(s) from awardees.

Please note that applicants need to include all environmental compliance costs, including personnel and non-personnel costs in the detailed budget, and budget narrative. Refer to Section D.7. d) and the [USAID Environmental Budgeting Toolkit](#) if applicable, for step-by-step guidance.

## **6. Other Requirements**

### **6.a) Code of Conduct and Protection from Sexual Exploitation and Abuse (PSEA)**

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

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

Applicants are not required to submit copies of the Code of Conduct for any planned sub-awardees; however, award agreements require prime recipients to ensure that sub-awardees have adopted a Code of Conduct consistent with the [IASC Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises](#).

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

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

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

### ***6.a).i Implementation Details***

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

- How the organization trains or makes employees aware of the Code of Conduct;
- How the organization makes beneficiaries aware of the Code of Conduct and mechanisms to report any violations;
- Describe what systems are in place to prevent, detect, and respond to allegations and instances of sexual exploitation and abuse, and who in the country is responsible for ensuring an appropriate and accountable response; and
- Describe how these systems are safe, accessible, confidential, and survivor-centered.<sup>6</sup>

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<sup>6</sup> A survivor centered-approach is one for which the survivor's dignity, experiences, considerations, needs, and resiliencies are placed at the center of the process, from the initial activity design to investigating and responding to potential incidents, with appropriate accountability for perpetrators of abuse. Consistent with the [UN Protocol on Allegations of SEA Involving Implementing Partners](#), the survivor should be informed, participate in the decision-making process, and provide consent on the possible use and disclosure of their information. Those interacting with the survivor and/or handling information regarding the allegation must maintain confidentiality, ensure safety of the survivor, and apply survivor-centered principles without discrimination. When the survivor is a child, the approach must consider the best interests of the child and engage with the family/caregivers as appropriate. USAID staff and partners should comply with host country and local child welfare and protection legislation and

## 6.b) Safety and Security Plan

A Safety and Security Plan will be required for all applications unless specified in the round.

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

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

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

Safety and Security Plans must include and clearly address the following for each location where activities are proposed:

1. Contextual analysis;
2. Threat analysis;
3. Vulnerability analysis (relating to personnel and operations);
4. Contingency planning for relevant emergency situations such as:
  - a. Abductions or illegal detention;
  - b. Evacuation;
  - c. Emergency medical care;
  - d. Psycho-social support for staff impacted by serious crimes or personal violence;
  - e. Sexual assault;
  - f. Armed attack;
  - g. Reporting and prosecution options; and

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international standards, whichever gives greater protection, and with U.S. law as applicable, per the [USAID Child Safeguarding Policy](#).

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

Check the BHA EAG Page routinely for new or updated supplementary materials and requirements, including any requirements about pandemics or other global emergencies. The [BHA EAG Page](#) is the Bureau's repository for supplementary safety and security information materials and requirements and is routinely updated.

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

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

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

#### **6.c) Risk Assessment and Management Plan**

BHA recognizes the importance of assessing risk and integrating risk management into all awards, beginning at the application phase. Every application submitted in response to a round under this MY APS must include a Risk Assessment and Management Plan (See EAG [Common Requirements](#), Section 12.12), including additional requirements for high-risk environments if applicable.

#### **6.d) Partner Vetting Requirements**

(a) USAID has determined that any award resulting from rounds solicited under this MY APS are subject to vetting if the proposed country currently has a vetting program (see [ADS 319](#) for reference).

(b) The following vetting procedures will apply to rounds solicited under this MY APS

(1) Prospective applicants review the attached USAID Partner Information Form, [USAID Form 500-13](#), and submit any questions about the USAID Partner Information Form or these procedures to the Agreement Officer by the deadline in the round.

(2) The Agreement Officer notifies the applicant when to submit the USAID Partner Information Form. For rounds solicited under this MY APS, USAID will notify applicants on vetting requirements as applicable. Within the timeframe set by the AO in each round, the applicant must complete and submit the USAID Partner Information Form (PIF) listing all key individuals to the Vetting Support Unit via the Partner Vetting System (PVS) online portal. The designated Vetting Official is:

Vetting Official: Laura Mendelson and John Chisolm

Email: [HAVettingquestions@usaid.gov](mailto:HAVettingquestions@usaid.gov)



(3) The applicant must notify proposed subrecipient(s) and contractor(s) of this requirement when the subrecipient(s) or contractor(s) are subject to vetting.

NOTE: Applicants are encouraged to use the secure Partner Vetting System (PVS) online portal to protect the sensitive information being transmitted. Partners who submit using non-secure methods of transmission do so at their own risk.

(c) Selection proceeds separately from vetting. Vetting is conducted independently from any discussions the AO may have with an applicant. The applicant and any proposed subrecipient(s) or contractor(s) subject to vetting must not provide vetting information to anyone other than the Vetting Official. The applicant and any proposed sub-recipient or contractor subject to vetting will communicate only with the Vetting Support Unit regarding their vetting submission(s) and not with any other USAID or U.S. Government personnel, including the AO or the AO's Representative(s). The AO designates the Vetting Official as the only individual authorized to clarify the applicant's and proposed subrecipient's and contractor's vetting information.

(d) (1) The Vetting Support Unit notifies the applicant that it: (i) is eligible based on the vetting results; (ii) is ineligible based on the vetting results; or (iii) must provide additional information, and resubmit the USAID Partner Information Form with the additional information within the number of days the Vetting Official specified in the notification.

(2) The Vetting Support Unit will coordinate with the agency that provided the data being used for vetting prior to notifying the applicant or releasing any information. In any determination for release of information, USAID will take into consideration the classification and sensitivity of the information, the need to protect sources and methods, and the status of ongoing law-enforcement and intelligence-community investigations or operations.

(e) Reconsideration: (1) Within seven (7) calendar days after the date of the Vetting Official's notification, an applicant that has been determined to be ineligible may request in writing to the Vetting Official that the Agency reconsider the vetting determination. The request should include any written explanation, legal documentation, and any other relevant written material for reconsideration;

(2) Within seven (7) calendar days after the Vetting Official receives the request for reconsideration, the Agency will determine whether the applicant's additional information merits a revised decision; and

(3) The Agency's determination of whether reconsideration is warranted is final.

(f) Revisions to vetting information: (1) Applicants who change key individuals, whether the applicant has previously been determined eligible or not, must submit a revised USAID Partner Information Form to the Vetting Official. This includes changes to key personnel resulting from revisions to the technical portion of the application; and

(2) The Vetting Official will follow the vetting process of this provision for any revision of the applicant's Form.

(g) Award: At the time of award or as soon after award as possible, the AO will confirm with the Vetting Official that the apparently successful applicant is eligible after vetting. If USAID completes vetting prior to award, the AO may award only to an apparently successful applicant that is deemed eligible. If USAID completes vetting after the award, an ineligibility determination will be considered a material failure to comply with the terms and conditions of the award and may subject the recipient to suspension or termination. In that event, USAID could disallow all costs for the same, potentially including previously-incurred costs.

## **SECTION G: FEDERAL AWARDING AGENCY CONTACTS**

### **I. APS Points of Contact**

Any questions concerning this MY APS, must be submitted in writing to [bhaglobalmyaps@usaid.gov](mailto:bhaglobalmyaps@usaid.gov) and specify “MY APS Questions” in the subject line.

Questions concerning a specific round should be directed to the additional awarding agency contact information provided in the relevant round.

### **2. Acquisition and Assistance Ombudsman**

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID’s acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information:

<https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>

[The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov](mailto:Ombudsman@usaid.gov)

## **SECTION H: OTHER INFORMATION**

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

### Applications with Proprietary Data

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the cover page with the following:

“This application includes data that must not be disclosed, duplicated or used – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of –

or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}.”

Additionally, the applicant must mark each sheet of data it wishes to restrict with the following:

“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application.”

## ANNEX I - STANDARD PROVISIONS

(Note: For nongovernmental organizations, the full text of these provisions may be found at: <https://www.usaid.gov/ads/policy/300/303maa>, <https://www.usaid.gov/ads/policy/300/303mab>, and <https://www.usaid.gov/ads/policy/300/303mat>). The actual Standard Provisions included in the award will be dependent on the organization that is selected (or the type of award, in the case of a fixed amount award). The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations, as appropriate. Awards to nongovernmental organizations will also contain the “required as applicable” Standard Provisions as listed below.

Note: Public international organizations (PIOs) are subject to different requirements, so USAID reserves the right to make awards to such organizations on different terms and conditions.

**Please note that the resulting award will include all standard provisions (both mandatory and required as applicable) in full text.**

### REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (NOVEMBER 2020)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (NOVEMBER 2020)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
		RAA4. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)
		RAA5. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
		RAA6. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
		RAA7. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
		RAA8. CARE OF LABORATORY ANIMALS (MARCH 2004)
		RAA9. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
		RAA10. COST SHARING (MATCHING) (FEBRUARY 2012)
		RAA11. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
		RAA12. INVESTMENT PROMOTION (NOVEMBER 2003)
		RAA13. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)

		RAA14. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
		RAA15. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
		RAA16. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
		RAA17. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
		RAA18. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
		RAA19. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
		RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
		RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
		RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
		RAA23. UNIVERSAL IDENTIFIER AND SYSTEM FOR AWARD MANAGEMENT (NOVEMBER 2020)
		RAA24. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (NOVEMBER 2020)
		RAA25. PATENT REPORTING PROCEDURES (NOVEMBER 2020)
		RAA26. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
		RAA28. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
		RAA29. RESERVED
		RAA30. PROGRAM INCOME (AUGUST 2020)
		RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)

**REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS**

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (NOVEMBER 2020)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (NOVEMBER 2020)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
		RAA5. INDIRECT COSTS – DE MINIMIS RATE (NOVEMBER 2020)

		RAA6. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (NOVEMBER 2020)
		RAA7. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (NOVEMBER 2020)
		RAA8. SUBAWARDS (DECEMBER 2014)
		RAA9. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
		RAA10. OCEAN SHIPMENT OF GOODS (JUNE 2012)
		RAA11. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
		RAA12. PATENT RIGHTS (JUNE 2012)
		RAA13. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
		RAA14. INVESTMENT PROMOTION (NOVEMBER 2003)
		RAA 15. COST SHARE (JUNE 2012)
		RAA16. PROGRAM INCOME (AUGUST 2020)
		RAA17. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
		RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
		RAA19. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
		RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
		RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
		RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
		RAA23. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
		RAA24. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
		RAA25. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
		RAA26. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
		RAA27. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
		RAA28. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
		RAA29. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
		RAA30. RESERVED
		RAA31. NEVER CONTRACT WITH THE ENEMY (NOVEMBER 2020)