



**USAID**  
FROM THE AMERICAN PEOPLE

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

## **GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

**December 15, 2006**

## NOTICES

- **These Guidelines do not supersede instructions contained in a Request for Applications (RFA) or an Annual Program Statement (APS). Applicants should read and follow specific instructions contained in an RFA or an APS to ensure consideration of their proposal in these competitive situations.**
- Unless otherwise indicated, these guidelines do not apply to public international organizations (PIOs)—including U.N. agencies—unless USAID/OFDA is the sole contributor.
- As this is a living document, prior to any proposal submission, applicants are strongly encouraged to check the USAID/OFDA website for updates to these guidelines: [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants)
- **Electronic proposal submissions are encouraged and preferred; hard copies by regular mail are no longer required.** In the case that a hard copy is submitted, USAID/OFDA neither desires nor requires elaborate covers or bindings. The use of couriers or express mail is discouraged as receipt of the proposal may be delayed. Per the guidelines, it must be clear that all submissions—both electronic and hard copy—originate from applicant's headquarters.
- U.S. legislation stipulates that no USAID/OFDA funds may be obligated to an organization that fails to adopt a code of conduct that provides for the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such a code of conduct must be consistent with the United Nations Interagency Standing Committee on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, which includes the following core principles:
  - Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment;
  - Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense;
  - Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchange of assistance that is due to beneficiaries;
  - Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work;
  - Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same humanitarian aid agency or not, s/he must report such concerns via established agency reporting mechanisms;
  - Humanitarian workers are obliged to create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems that maintain this environment.

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## I. INTRODUCTION

The USAID/OFDA *Guidelines For Unsolicited Proposals and Reporting* have been revised and updated in accordance with USAID's new requirements and the changing global humanitarian context. These guidelines apply to new agreements as well as to modifications of existing awards and cooperative agreements.

The guidelines are designed to:

- Provide information relevant to the proposal review and award process;
- Outline the essential components of a proposal;
- Provide information, including the Additional Program Description Requirements (APDRs), to assist with the proposal writing process;
- Provide administrative and financial forms that must be included with each proposal submission;
- Outline essential components of post award requirements, including reporting.

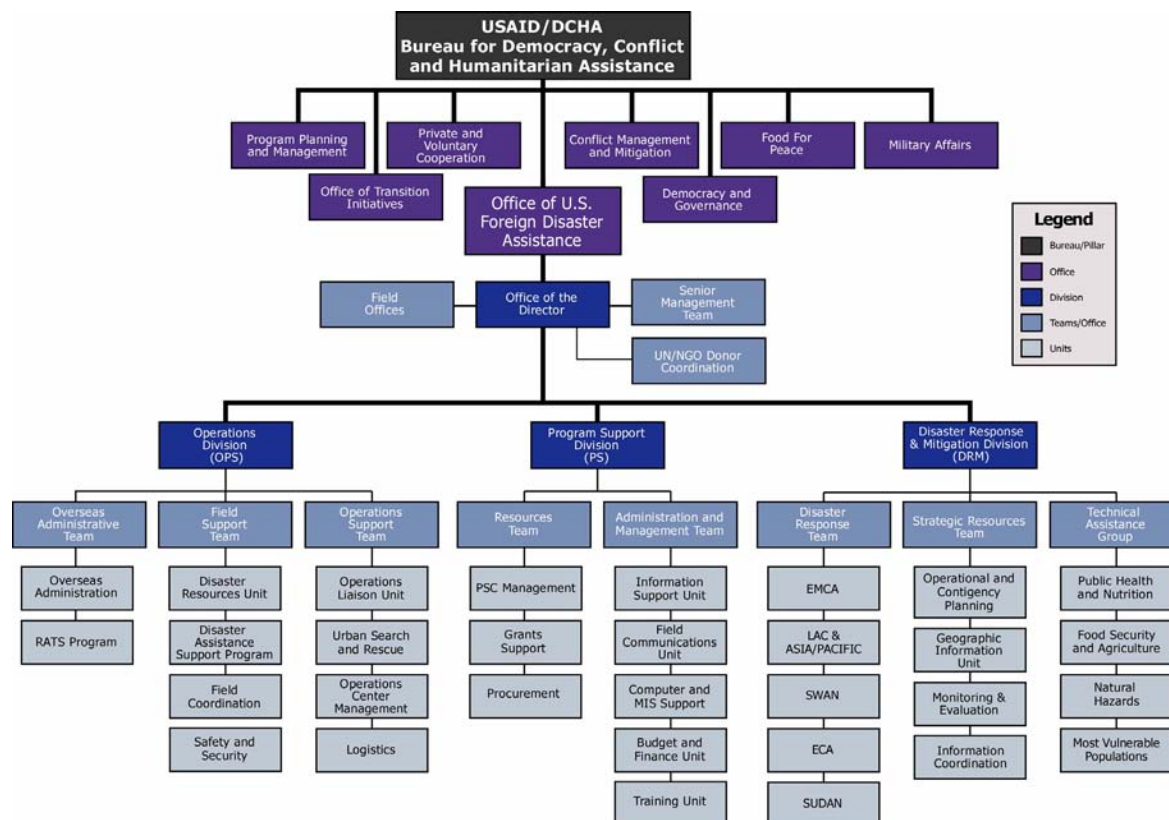
USAID/OFDA continues to streamline and improve the guidelines. All of the information contained in these guidelines has been developed and included to solicit various types of information essential for USAID/OFDA to make funding decisions efficiently and effectively.

USAID/OFDA strongly encourages applicants to use the suggested formats included in the guidelines to expedite the USAID/OFDA proposal review and funding process. Proposals that do not include information identified within these guidelines as "required" will not be formally reviewed by OFDA. A full list of required information can be found at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants)

## OFDA's ROLE IN HUMANITARIAN ASSISTANCE

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

USAID/OFDA's mandate is to save lives, alleviate human suffering, and reduce the economic impact of disasters. USAID/OFDA is the lead U.S. Government (USG) office for responding to natural and human-caused disasters outside of the United States. USAID/OFDA coordinates the USG response to disasters in foreign countries, and has primary responsibility for meeting the needs of internally displaced persons (IDPs) in emergency situations. USAID/OFDA fulfills its mandate by providing rapid appropriate response to requests for assistance; providing sufficient warning of natural events that cause disasters; and fostering self sufficiency among disaster-prone nations by helping them achieve some measure of preparedness. USAID/OFDA carries out its mandate in coordination with the affected country, other USG agencies and offices, other donor governments, international organizations, United Nations relief agencies, non-governmental organizations (NGOs), and public voluntary organizations.



## II. GENERAL SUBMISSION INSTRUCTIONS

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

### USAID/OFDA's PROPOSAL REVIEW AND AWARD PROCESS

#### Concept Papers

USAID/OFDA encourages prospective applicants to provide a concept paper prior to submission of a full proposal. By submitting a concept paper, prospective applicants can obtain a quick answer to the question, "Is USAID/OFDA interested in this program?" without preparing a full proposal. Concept papers should: be no longer than five pages; outline objectives; and include a preliminary budget. Acceptance of a concept paper does not guarantee that USAID/OFDA will fund an applicant's proposal. Concept papers should be submitted to OFDA/W and USAID/OFDA field staff. Review time for concept papers does not count towards the minimum 45 days that USAID/OFDA needs to review and process proposals.

1. OFDA/W will notify the applicant's point of contact, as designated in the proposal, of receipt of the proposal by e-mail. OFDA/W, in coordination with USAID/OFDA field staff, will determine the acceptability of the proposal. **The proposal review and award process takes a minimum of 45 days. Applicants should plan program start dates accordingly.**

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

3. If issues are raised during the formal proposal review, they will be communicated to the applicant in writing. Applicants should be aware that issues raised as part of this formal dialogue may be addressed by the provision of additional justifications for proposed

activities, clarification of technical details, or provision of other requested information. USAID/OFDA cannot make a recommendation to fund the proposal until all issues are satisfactorily resolved.

4. If OFDA/W determines that the issues are resolved, OFDA/W will notify the applicant that the proposal has been **recommended** for funding.
5. OFDA/W will prepare and process the necessary documentation for the award and will forward it to USAID's Office of Acquisition and Assistance (USAID/OAA). USAID/OAA provides final approval of all proposals. No communication from OFDA, written or verbal, constitutes final approval. Once awarded, USAID/OAA will forward copies of the award document to the applicant's point of contact. It is the responsibility of the applicant to ensure internal distribution, including field staff.

## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

6. If a proposal is rejected, OFDA/W will notify the organization's headquarters in writing.
7. At the request of the applicant, USAID may elect to provide a pre-award letter (PAL) that communicates OFDA's expectations about the award. This request should be made via email to OFDA/W at the time of application. Typically, a PAL will set forth the date from which a grantee will be reimbursed for program costs prior to the signature date of the award. USAID/OFDA cautions applicants that in the event that an award is not made, incurred costs will not be reimbursed.

## REQUIREMENTS FOR NEW APPLICANTS

The following section describes additional requirements for applicants submitting proposals. Applicants that have not previously received funding from the USG must complete sections one and two. If the applicant has previously received funding from the USG, but not USAID, only section two must be completed.

### **1. Organization has not previously received US Government (USG) funding:**

- USAID/OFDA must conduct a pre-award qualification review. This review may take 60 to 90 days. Applicants should take this into account and plan submissions and program performance periods accordingly. Please contact an USAID/OFDA representative for additional guidance. To obtain a listing of USAID/OFDA regional representatives, please consult the USAID website at:  
[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/directory/regional\\_teams\\_new.html](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regional_teams_new.html).
- Applicants should provide audited financial statements for the previous three fiscal years, an organization chart, and copies of applicable policies and procedures (i.e., accounting/financial management, purchasing, property management, travel, personnel).
- All applicants should have a DUNS number. Procedures for obtaining a DUNS number are contained in the Certifications and Representations package, which can be accessed from  
[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants).

### **2. Organization has previously received USG funding, but has not received USAID funding:**

- The applicant should include information demonstrating that the organization has the ability to comply with award conditions:
  - Financial and program management systems that comply with 22 CFR 226.20-28.
  - Purchasing system/contracting procedures that comply with 22 CFR 226.40-49.
  - Property management system that complies with 22 CFR 226.30-37.
  - Personnel policy that complies with applicable USG cost principles and results in reasonable and allocable salary charges.
  - Travel policy that complies with the standard provision entitled “International Air Travel and Transportation” and applicable USG cost principles.
  - System of administering and monitoring sub-awards as required by OMB Circular A-133 (for U.S. organizations) or the USAID Inspector-General’s “Guidelines for Financial Audits Contracted by Foreign Recipients” (for non-U.S. organizations).
  - Reports and records that comply with 22 CFR 226.50-53.
  - Sufficient absorptive capacity.
- The applicant should include information demonstrating that the organization has adequate financial resources or the ability to obtain same, for performance of the award.
- The applicant should include information demonstrating that the organization has a satisfactory record of performance, including past performance references.



## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- The applicant should include information demonstrating that the organization has a satisfactory record of integrity and business ethics.
- The applicant should include information demonstrating that the organization is otherwise qualified to receive an award under applicable laws and regulations.
- The applicant should provide contact information for the Contracting/Agreement Officer(s) from the USG agency(ies) from which the applicant has received an award(s).
- Applicants must have a U.S. bank account in order to receive payments from USAID. The New Vendor Information Form can be accessed from [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants). The New Vendor Information Form must be completed and submitted with the proposal.

## FORMATTING STANDARDS AND SUBMISSION INSTRUCTIONS

**Electronic proposal submissions are preferred and encouraged.** Proposal submissions should be directed to the appropriate point of contact at OFDA/W. The current list of regional team representatives is available on the USAID website: [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/directory/regional\\_teams\\_new.html](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/directory/regional_teams_new.html)

Proposal submissions should:

- Conform to a 20-page limit, excluding the cost proposal, proposal summary, and supporting documentation.
- Include page numbers and headers or footers that clearly identify the submission or revision date. All documents must be clearly labeled as either an original submission, or revised submission.
- Be submitted to OFDA/W by an applicant's headquarters.
- Include all required signed Certifications and Representations.
- Ensure that electronic submissions are in English or with English translations, and are in Word 2000 and/or Excel 2000 or newer versions.
- All budgets must be in U.S. Dollars (USD).

### III. RECOMMENDED PROPOSAL FORMAT

The recommended outline for the proposal narrative and cost/budget guidelines is on page 11 of these guidelines. A proposal summary of approximately two pages is required with each application.

#### ***Proposal Summary***

The proposal summary should provide a brief overview of the programmatic and financial data. **Proposals without a completed proposal summary will not be reviewed.** The summary template below is strongly recommended. A blank and editable template is available at

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants)

**Request for a New Award or Modification to an Existing Award** (If modification, include award number.)

<b>Organization's Headquarters</b> Contact Person: Mailing Address: Telephone: Fax: E-mail:	<b>Organization's Field</b> Contact Person: Mailing Address: Telephone: Fax: Email:
--	--

Country/Region:

Submission/Revision Date:

Program Title:

Program Duration (number of months):

Proposed Start Date:

Proposal includes the following categories of restricted goods:

Restricted Goods	Check box if applicable
Agricultural commodities	
Vehicles not manufactured in the U.S.	
Pharmaceuticals - Human and Veterinary	
Pesticides	
Fertilizer	
Used equipment	
USG-owned excess property	

**Dollar Amount Requested from OFDA**

Dollar Amount from Other Sources

Dollar Amount of In-Kind Contributions

Total Dollar Amount of Program

\$ \_\_\_\_\_

\$ \_\_\_\_\_

\$ \_\_\_\_\_

\$ \_\_\_\_\_

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

### Program Goal:

Total Number of Individuals Affected in the Targeted Area:

Total Number of Beneficiaries Targeted (Individuals):

Total Number of IDP Beneficiaries Targeted (Individuals):

### A separate Sector Table should be used for EACH sector.

<b>Sector:</b>	<i>Choose one (1) sector from the list in the APDRs.</i>
<b>Objective:</b>	<i>Describe the objective of the planned work for the chosen sector.</i>
Dollar Amount Requested:	<i>Indicate how much money is requested for activities in the specific sector.</i>
Number of Beneficiaries Targeted:	<i>Indicate how many Beneficiaries are targeted for activities in the specific sector.</i>
Number of IDP Beneficiaries Targeted:*	<i>Indicate how many IDP Beneficiaries are targeted for activities in the specific sector.</i>
Geographic Area(s):	<i>List the geographic areas where the planned work for this specific sector will occur.</i>
Sub-Sector:	<i>Specify at least one sub-sector for the planned work.</i>
Indicator (A):	<i>Include at least one indicator from the standard list in the APDRs to measure the success of planned activities.</i>
Indicator (B):	<i>Include additional indicators as needed.</i>
Sub-Sector:	<i>Specify additional sub-sectors. Use additional rows for each sub-sector.</i>
Indicator (A):	<i>Specify additional indicators from the list in the APDRs for each additional sub-sector.</i>
Indicator (B):	

\*Individuals – a subset Number of Beneficiaries Targeted

### One (1) Cross-Cutting Theme (CCT) table should be completed per proposal. This table should include information for all CCTs:

<u>Name of CCT</u>	<u>Relevant Sector and Sub Sector</u>	<u>Indicators</u>
CCT (A)	<i>List all relevant sectors and sub-sectors that integrate this CCT.</i>	<i>Include at least one indicator from the standard list in the APDRs to measure the success of planned activities. Include additional indicators as needed.</i>
CCT (B)	<i>Repeat the instructions above for each CCT in the proposal.</i>	<i>Repeat the instructions above for each CCT in the proposal.</i>
CCT (C)		

## **SUGGESTED PROPOSAL OUTLINE**

- A) Justification**
  - 1. Problem Statement
  - 2. Needs Assessment Summary
  - 3. Justification for Intervention
- B) Program Description**
  - 1. Program Level
    - a. Goal
    - b. Beneficiaries
    - c. Critical Assumptions
    - d. Program-Level Coordination
    - e. Safety and Security Plan for Program/Field Staff
    - f. Transition and Exit Strategy
  - 2. Sector Level
    - a. Sector
    - b. Objective
    - c. Dollar Amount
    - d. Beneficiaries
    - e. Geographic Areas
    - f. Sector-Level Coordination
  - 3. Sub-sector Level
    - a. Sub-Sectors
    - b. Technical Design
    - c. Beneficiary Description
    - d. Indicators
  - 4. Cross-Cutting Themes
    - a. Program Integration
    - b. Indicators
- C) Monitoring and Evaluation**
  - 1. Monitoring Plans
  - 2. Evaluation Plans

## **COST AND BUDGET OUTLINE**

- A) Documentation on Ineligible and Restricted Goods, Services, and Countries**
  - 1. Ineligible Goods and Service
  - 2. Ineligible Suppliers
  - 3. Restricted Goods
  - 4. Foreign Policy Restricted Countries
- B) Detailed Itemized Budget**
- C) Budget Narrative**
- D) Branding Strategy and Marking Plan**
- E) SF-424**
- F) Completed/Signed Certifications and Representations**
- G) Voluntary Survey on Faith-Based and Community Organizations**
- H) Required Supporting Administrative Documentation**
  - 1. Organizational Structure
  - 2. Accountability
  - 3. Cost Sharing (Matching) and In-kind Contributions
  - 4. Sub-award Arrangements
  - 5. Past Performance References
  - 6. Self-certification for Compliance with USAID Policies and Procedures for Personnel, Procurement, Property management, and Travel (U.S. NGOs only)
  - 7. U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA)
  - 8. Program Income
  - 9. Pipeline Analysis (Award Modifications Only)
  - 10. Restricted Goods
  - 11. New Vendor Information Form (if the applicant has never received USAID awards.)

## IV. PROGRAM GUIDELINES

Applicants should carefully review the requirements in the following section as well as the Additional Program Description Requirements (APDRs), formerly the Minimum Technical Information Requirements (MTIRs), beginning on page 44.

### A. *Justification*

#### 1. Problem Statement

The problem statement should describe the disaster/hazard that occurred, the major causes of the problem, the populations affected, including the source and date of the information, and any relevant background information. This should not be a comprehensive history of the country or region, but should provide a backdrop for the program being proposed.

#### 2. Needs Assessment Summary

Applicants may submit needs assessments conducted by themselves, in coordination with others, or by other internationally recognized sources familiar with the situation, such as the United Nations. Except in extraordinary circumstances, USAID/OFDA does not fund individual organizations' needs assessments. It is expected that the organization cover such costs from its own resources as part of the organization's contribution to the proposed program and to justify why an applicant is requesting USAID/OFDA funds. For certain rapid-onset disasters, a thorough needs assessment may not be possible. Please seek guidance from USAID/OFDA program staff in these cases.

This section should include information on who conducted the needs assessment, where it took place, and when. It should describe the major findings including: demographic analysis; impact of the situation on services, infrastructure, capacities, and needs of the affected population; and local social and economic networks. In order to establish a clear connection between the needs identified and the program being proposed, USAID/OFDA prefers the summary be divided into overall and specific sector- or sub-sector-based descriptions. Please consult the needs assessment sections of the relevant APDR for specific guidance on information to include.

A copy of the full needs assessment should be attached to the proposal and should, where possible, include the following information:

- A synthesis of surveys, assessments, or other descriptive and analytical efforts that have been conducted in order to determine the nature of the problem and the need for the intervention.
- To the extent possible, quantifiable data, trends, analysis, data sources, and methodologies used to collect data. Also indicate when the data were collected.
- Information from surveys, assessments, and other documents to describe the service area and the conditions of the targeted beneficiary population(s), including the IDPs within that population. When appropriate, this information should include the gender, age, ethnicity, and socioeconomic status of those affected. Provide a description of

#### Program Duration

Emergency programs may be funded for up to **one year** at a time. Agencies are encouraged to discuss any long-term planning needs within program proposals.

Prevention, mitigation, planning and preparedness programs may be funded for multiple years with funding provided in annual installments.

the effects of the disaster on the social and economic networks, power structures, and organization of the affected population(s).

- A description of the impacts of the disaster on the local ecosystem and on the capacity of the affected population to access and utilize natural resources.
- A comparison of the data with Sphere Minimum Standards in Disaster Response, where appropriate. If baseline data cannot be provided in the proposal, it must be submitted no later than 90 days after the agreed upon start date if the award is for more than six months; if the award is for less than six months, the baseline data must be submitted no later than 30 days after the start date.
- Information on the relationships between direct and indirect beneficiaries should also be included, where appropriate.

**Modification** requests should include assessment updates and describe achievements reached during the last award period based on the previous proposal. This should include any constraints that hindered achievement of previous objectives and an explanation of how these constraints will be addressed in the ongoing program.

### **3. Justification for Intervention**

The justification for intervention should explain why the current situation necessitates a humanitarian response at this time and provide the context for the proposed beneficiaries. Based on the findings established from the needs assessment, provide an overall sector and sub-sector based justification for the program being proposed. The justification should also indicate why the specific interventions proposed are the most appropriate to meet those needs. This should include a description of the range of local skills and capacities that can be used to respond to and recover from the disaster/hazard and how lessons learned from previous disaster responses and/or transition and development programs have been applied to the proposed activities.

## ***B. Program Description***

### **1. Program Level**

The following information should be provided at the program level:

#### **a. Goal**

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

#### **b. Beneficiaries**

- Total Number of Beneficiaries Targeted (Individuals).
- Total Number of IDP Beneficiaries Targeted (Individuals).

#### **c. Critical Assumptions**

Critical assumptions are an organization's best estimate of the general conditions that will prevail during program implementation. A significant change in a critical assumption can affect results and should be identified and weighed before undertaking implementation. Assumptions are based on such factors as the local context, security, access, staffing, and availability of resources. In some cases, organizations may have contingency plans in case the assumptions do not hold true. These plans should be addressed in the implementation plan.

**d. Program-Level Coordination**

Provide a description of how the applicant will coordinate, share information, and collaborate closely with U.N. agencies, other NGOs, other USG agencies, other donors, local groups, and local and national government agencies in the project design and implementation, including:

- If this program will stand alone, or if it is part of a larger country strategy, implemented either by the applicant or the host government and/or the international community;
- How information is shared with relevant coordinating bodies on program location (geographic coordinates or village/district/province name);
- A brief discussion of the current capacity of the government to respond to the current problems, any strategies already in place, and the perceived gaps that this program or other programs will fill.

Sector-specific coordination efforts should be described in the sector-level section below.

**e. Safety and Security Plan for Program/Field Staff**

USAID/OFDA believes that security is an integral part of any operational or programmatic plan and requires appropriate and specific security measures be incorporated in all proposals for the project area. One of USAID/OFDA's main programming concerns is that humanitarian workers not be exposed to undue or avoidable risks wherever they operate.

- USAID/OFDA requires applicants to include security plans, appropriate to the environment and the organization, that address staff security concerns. Applicants should attach a complete copy of the actual program security plan or documented security protocols used on the ground in justification of security-related line items. **USAID/OFDA is not explicitly or implicitly evaluating or approving the content of any security documents submitted.**
- USAID/OFDA encourages NGO applicants to consider adopting InterAction's *Minimum Operating Security Standards* (MOSS) (available at [http://www.interaction.org/files.cgi/5173\\_MOSS\\_May\\_2006.pdf](http://www.interaction.org/files.cgi/5173_MOSS_May_2006.pdf)) if they have not already done so. *Guidance for Implementing InterAction's Minimum Operating Security Standards* can be found at [http://www.interaction.org/files.cgi/5174\\_MOSS\\_Implementation\\_May\\_2006.pdf](http://www.interaction.org/files.cgi/5174_MOSS_Implementation_May_2006.pdf). Additional security resources that NGOs may also refer to are: *InterAction's Security Planning Guidelines* ([http://www.interaction.org/files.cgi/687\\_Security\\_Planning\\_Guidelines.pdf](http://www.interaction.org/files.cgi/687_Security_Planning_Guidelines.pdf)); local U.N. security guidelines; and U.S. Department of State travel advisories ([www.travel.state.gov](http://www.travel.state.gov)). USAID/OFDA suggests that all NGO personnel deployed to the field complete training in personal security management appropriate to the organization and the location.
- USAID/OFDA encourages sharing security information within the humanitarian community and specifically requests that security incidents or threats involving any NGO staff be promptly reported to the U.N. Department of Safety and Security (UNDSS) or the U.N. Office for the Coordination of Humanitarian Affairs (OCHA).
- USAID/OFDA expects its implementing partners to adequately address security in their proposals and views appropriate security measures as essential to the safety and security of staff and the successful implementation of programs. The inclusion of appropriate security measures is reflective of well thought out programs, rather than an optional component.

**f. Transition and Exit Strategy**

The exit strategy should describe the expected end-state of the project in terms of what conditions will exist that will ensure the sustainability of what has been achieved, or what measurable progress has been made towards future sustainability. The applicant should also describe what further actions will be required and/or taken to ultimately ensure sustainability; within what timeframe, to whom, and how the applicant plans to transition activities; how the implementing organization will discuss the transition with all relevant stakeholders; and actions, if any, the applicant will take to continue after USAID/OFDA funding ends.

**2. Sector Level**

General guidance is provided in this section for each of the following sector requirements. Applicants should provide this information for each sector proposed. If a desired sector, sub-sector, or cross-cutting theme is not found, please consult with the appropriate OFDA/W contact.

**a. Sector**

Based on the objective(s), determine a sector from the Summary Table in Section IV. Provide a list of the sectors covered in this program. Sector, sub-sector, and cross-cutting themes list can be found in the table.

**b. Objective**

Provide only one objective for the proposed sector. The objective should reflect the primary aim or intended outcome.

USAID/OFDA discourages overly descriptive details in objectives, such as specific locations and beneficiary numbers, as this information will be provided elsewhere. Including such details in the objective itself may limit flexibility to respond rapidly to changing conditions on the ground and/or if needs change.

Separate mitigative or distinct but related aspects of an emergency program—such as coordination, information management, protection, or capacity building—should not be disaggregated into separate objectives if they represent an integral part of a larger objective.

**c. Dollar Amount**

Indicate the dollar amount per objective. For further instructions, refer to page 31.

**d. Beneficiaries**

Provide the following beneficiary numbers per sector including an explanation of how the beneficiaries (individuals) are targeted. For example, 5,000 beneficiaries are targeted in health, of which 250 are IDPs. Also include how the disaster environment is impacting the ability to reach and assist affected populations and how protection measures will be promoted within the affected population through the program.

- Number of Beneficiaries Targeted (Individuals)
- Number of IDP Beneficiaries Targeted (Individuals)



**e. Geographic Areas**

Provide all detailed location(s) per sector for each activity. At a minimum, provide the first administrative level (state or province name) for the area(s) in which your organization is working. Please provide as many administrative levels as possible, for example, Country/Province/District/Town. If you know the census or place codes (p-codes), please include them. For any additional guidance, please contact USAID/OFDA Program Staff. USAID/OFDA also requests the inclusion of maps and geographic data, such as global positioning system (GPS) coordinates, when available.

**f. Sector-Level Coordination**

Provide a description of how the applicant will coordinate, share information, and collaborate closely with U.N. agencies, other NGOs, other USG agencies, other donors, local organizations, and local and national government agencies in the project design and implementation of activities proposed under this sector, including:

- What other international organizations and NGOs are doing in the same sector. Identify any links between programs, and explain how the proposed program will complement these programs, if applicable;
- The coordination approach for each sector covered in the program, frequency of meetings, how problems are identified and addressed, how information is gathered and disseminated, and how standards are set and monitored.

**3. Sub-Sector Level**

**a. Sub-Sectors**

Detailed guidance on information required in this section for each sub-sector is provided in the APDRs section, which begins on page 44. Applicants are required to fit their proposed activities under one or more of the USAID/OFDA established sub-sectors for each sector listed in the APDRs and summarized in the table below.

**b. Technical Design**

In this section, please outline the technical design of the proposed intervention, including detailed descriptions of how each activity will be implemented and demonstrating the technical capacity of the applicant's organization to carry out the intervention. In general, descriptions should include methodologies, processes, or steps the applicant will undertake to achieve each activity in the proposed timeframe. Applicants are invited, but not required, to include timelines, charts, or other graphics for illustration purposes. Provide detailed distribution and logistic plans for providing these goods and services. In cases where distribution of goods or services is meant to be more than a short-term response (i.e. well construction or seed distributions), sustainability of the systems should be addressed. Please refer to the APDRs for guidance on the type of technical design information required for each sub-sector and for examples of possible activities.

**c. Beneficiary Description**

Please address the beneficiary issues identified in the APDRs for each sub-sector.

**d. Indicators**

Applicants should select indicators for each sub-sector. Unless otherwise stated, applicants are not required to select all of the indicators for a particular sector or sub-sector. In addition to the standard indicators provided by OFDA, applicants are strongly encouraged to develop their own indicators.

Many of the indicators in the standard list are *output* indicators. Applicants are strongly encouraged to develop *impact* indicators appropriate to their program. USAID/OFDA requires both planned *output* and *impact* indicators to measure the results of program implementation. When reporting against indicators provided by USAID/OFDA, applicants should use the exact language contained in the APDR.

Modification requests and new follow-on requests should use the achieved rates from previous program reporting as the new baseline indicators for the current proposal. Modification and follow-on requests must also include the appropriate indicators from the standard lists provides in the APDRs, even if the indicators were not included in the original program.

#### **4. Cross-Cutting Themes**

Cross-cutting themes are used to describe a topic, activity, or population that do not apply to any one sector or intervention exclusively but are common throughout a humanitarian response. Review the cross-cutting themes section of the APDRs in Section VII and select as many cross-cutting themes as are appropriate. USAID/OFDA expects that protection and gender will be addressed in most applications.

##### **a. Program Integration**

Applicants must identify which cross-cutting themes will be addressed in the proposed activities. Please correlate the cross-cutting themes with the sectors and/or sub-sectors to be addressed by the proposed intervention. Describe the relationship between the different components of the program.

In the technical design of the program (Section (B)(3)(b)), applicants should address each cross-cutting theme as it relates to the implementation of proposed activities.

##### **b. Indicators**

For each cross-cutting theme selected, applicants must also include one or more of the standard indicators listed in Sub Section J of Section VII. Applicants are not required to select all of the standard indicators but should determine which indicators are most appropriate for the particular activities. Applicant are strongly encouraged to develop impact indicators appropriate to the cross-cutting theme. These indicators should be used and reported against in addition to those provided in the Sector and Sub-Sector level.

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**Summary Table: USAID/OFDA Sectors, Sub-Sectors, Indicators, and Cross-Cutting Themes**

Below is a table providing the approved Sectors, Sub-Sectors, Indicators, and Cross-Cutting themes from which applicants must choose while completing the program description section. Additional information is provided in the APDRs in Section VII.

<b>SECTOR</b>	<b>UB-SECTOR</b>	<b>INDICATORS</b>
<b>Agriculture and Food Security</b>	<b>S Fisheries</b>	<b>Capture Fisheries:</b> <ul style="list-style-type: none"> <li>- Number of people provided fishing or processing equipment</li> <li>- Number of people trained</li> <li>- Number of kilograms of fish captured/fisher/month</li> <li>- Average number of kilograms of fish consumed/week/fisher household</li> <li>- Average monthly income from captured fish/fisher or household</li> </ul> <b>Aquaculture:</b> <ul style="list-style-type: none"> <li>- Number of fish farmers provided equipment</li> <li>- Number of fish farmers trained</li> <li>- Number of kilograms of fish harvested/fish farmer or household/six-month period</li> <li>- Average number of kilograms of fish consumed/week/fish farmer household</li> <li>- Average income (in USD) from fish sales/fish farmer/week</li> </ul>
	<b>Livestock</b>	<ul style="list-style-type: none"> <li>- Number and percentage of targeted animals vaccinated</li> <li>- Number of CAHWs trained</li> <li>- Number of beneficiaries provided equipment</li> </ul>
	<b>I Pests and Pesticides</b>	<ul style="list-style-type: none"> <li>- Number of hectares treated against target pests</li> <li>- Number of types of crops/pasture saved/protected against</li> <li>- Liters/kilograms of obsolete and unusable pesticides removed and/or disposed safely</li> <li>- Number of empty pesticide containers collected and disposed safely</li> <li>- Number of farmers/pastoralists trained in ETOP operations</li> </ul>
	<b>Seed Systems and Agricultural Inputs</b>	<ul style="list-style-type: none"> <li>- Actual number of hectares (ha) planted with distributed seeds</li> <li>- Number and percent of seed recipient farmers with sufficient seeds to plant fields for next agricultural seasons</li> <li>- Number of months of food self-sufficiency due to distributed seed production for beneficiary families</li> <li>- Number of gardens planted with distributed seed</li> <li>- Number of seedlings provided</li> </ul>
	<b>Veterinary Medicines and Vaccines</b>	<ul style="list-style-type: none"> <li>- Number of veterinary diseases/conditions identified</li> <li>- Prevalence of disease in area of intervention, represented as both the percentage of total herd as well as the total number of affected animals.</li> <li>- Number of interventions, treatments or vaccinations administered</li> </ul>

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		<ul style="list-style-type: none"> <li>- Increase in number and percentage of animals vaccinated, by type, from baseline of pre-program numbers vaccinated</li> </ul>
<b>Economy and Market Systems</b>	<b>Economic Recovery</b>	<p><b>Individual Level</b></p> <ul style="list-style-type: none"> <li>- USD amount increase in purchasing power per beneficiary. This may consist of the total voucher amount per beneficiary, cash distribution amount, or cash-for-work payout. Note: For Cash-for-work payout, the “average pay/beneficiary over the life of the project” is preferable to “pay/beneficiary/day.”</li> </ul> <p><b>Market Level</b></p> <ul style="list-style-type: none"> <li>- Number of markets restored</li> <li>- Kilometers of roads rehabilitated</li> <li>- Number of fairs</li> <li>- Total USD grant amount of fairs</li> </ul> <p><b>Local Economy Level</b></p> <ul style="list-style-type: none"> <li>- Total value in USD of all assistance provided directly to beneficiaries. This may consist of the sum of all cash-for-work salaries, cash distribution, vouchers, and value of locally-procured commodities. This indicator is designed to estimate the amount of money that is infused into the local economy through beneficiary-oriented activities. The indicator should not include staff salaries, operation expenses (office rent, vehicle rental, etc.), office supplies, etc.</li> </ul>
<b>Health</b>	<b>(General Indicators)</b>	<ul style="list-style-type: none"> <li>- Number of USAID/OFDA-supported health facilities providing services to manage the most common diseases causing morbidity and mortality in the target population, including maternal and neonatal health</li> <li>- Number of health providers and/or community members trained in areas such as the prevention and management of the most common diseases causing morbidity and mortality, maternal and neonatal health, EPI, HIV/AIDS prevention, and health education</li> <li>- Utilization rates of USAID/OFDA supported health facilities</li> <li>- Reduction in CMR or CDR with a target of less than 2x baseline or <math>\leq 1/10,000/\text{day}</math> if baseline unknown)</li> <li>- Reduction in U5MR or 0-5DR maintained or reduced (target less than 2x baseline or <math>U5MR \leq 2/10,000/\text{day}</math> if baseline unknown.)</li> </ul>

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<b>Health</b>	<b>Child Health</b>	<p><b><i>Malaria (in malaria endemic countries)</i></b></p> <ul style="list-style-type: none"> <li>- Number and percent of total population, pregnant women, and &lt; 5 effectively treated for malaria with appropriate anti-malarial</li> <li>- Percent of coverage with ITNs of target population (total, &lt;5 and pregnant women)</li> <li>- Percent utilization of ITNs in target population (total, &lt;5 and pregnant women)</li> <li>- Incidence rate of malaria (total, &lt;5 and pregnant women)</li> <li>- Proportional morbidity from malaria (total, &lt;5 and pregnant women)</li> <li>- Proportional mortality from malaria (total, &lt;5 and pregnant women)</li> </ul> <p><b><i>Acute Respiratory Tract Infections (ARI)</i></b></p> <ul style="list-style-type: none"> <li>- Number and percent of population &lt; 5 effectively treated for ARI with appropriate antibiotic</li> <li>- Proportional morbidity of children &lt; 5 years of age from ARI</li> <li>- Proportional mortality of children &lt; 5 years of age from ARI</li> </ul> <p><b><i>Diarrhea</i></b></p> <ul style="list-style-type: none"> <li>- Number and percent of population &lt; 5 effectively treated for diarrhea with ORT and zinc (antibiotic for dysentery) at the health facility and/or community level</li> <li>- Percentage of children exclusively breastfed for at least 6 months or continued feeding</li> <li>- Incidence rate of diarrhea</li> <li>- Proportional morbidity of children &lt; 5 years of age from diarrhea</li> <li>- Proportional mortality of children &lt; 5 years of age from diarrhea</li> </ul>
	<b>Maternal Health</b>	<ul style="list-style-type: none"> <li>- Number of providers trained in management of clean deliveries and detection of danger signs. (Indicate the type of provider, such as midwife or TBA.)</li> <li>- Percentage of pregnant women who have attended at least 2 ANC visits</li> <li>- Percentage of pregnant women receiving iron and folic acid at the ANC</li> <li>- Percentage of pregnant women who received a clean delivery kit</li> <li>- Percentage of women vaccinated with tetanus toxoid (TT2)</li> <li>- Percentage of pregnant women in their 2nd and 3rd trimester attending an ANC who receive intermittent presumptive therapy for malaria</li> <li>- Percentage of pregnant women utilizing ITNs</li> <li>- Percentage of pregnant women who deliver assisted by a trained provider (indicate type of provider such as midwife, TBA)</li> <li>- Referral system for obstetrical emergencies in place</li> <li>- Percentage of women who attend at least one postpartum visit with trained provider (including provision of Vitamin A where appropriate)</li> <li>- Maternal mortality ratio (MMR)</li> <li>- Neonatal mortality rate</li> </ul>

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<b>Health</b>	<b>Expanded Program of Immunization (EPI)</b>	<ul style="list-style-type: none"> <li>- Immunization coverage &lt;1 year age (DPT3, Polio3).</li> <li>- Measles immunization coverage, ages 6 month to 15 years old.</li> <li>- Vitamin A coverage, 6 to 59 months.</li> </ul>
	<b>Health Education</b>	<ul style="list-style-type: none"> <li>- Number of CHW trained in the prevention and community based management of diarrhea, ARI, malaria, measles, and maternal and infant health</li> <li>- Number of health education and promotion sessions (or number of population targeted) provided to communities</li> <li>- Percentage of target population properly washing hands at appropriate times (see hygiene section of WASH for more details)</li> <li>- Percentage of target population with knowledge of and practicing two methods to prevent diarrhea</li> <li>- Percentage of population properly managing diarrhea at home</li> <li>- Percentage of women exclusively breastfeeding for six months</li> <li>- Percentage of target population able to identify the transmission and prevention of malaria</li> <li>- Percentage of utilization rate of ITNs in total population, children under 5, and pregnant women</li> <li>- Percentage of target population with knowledge of when to seek care for children with respiratory difficulty, fever and diarrhea (dehydration), complications of pregnancy</li> </ul>
	<b>HIV/AIDS</b>	<ul style="list-style-type: none"> <li>- Number of providers (indicate type of provider, such as CHW, midwives, or nurses) trained in the prevention of HIV/AIDS and STIs</li> <li>- Number of health education sessions (or number of population targeted) provided to communities</li> <li>- Percentage of target population with the knowledge of two types of transmission and prevention of HIV/AIDS</li> <li>- Percentage of health facilities where standard precautions are routinely practiced</li> <li>- Percentage of referral centers with safe blood supply (based on laboratory validation)</li> </ul>
	<b>Essential Medicines / Pharmaceuticals</b>	<ul style="list-style-type: none"> <li>- Number of patients treated for a particular targeted disease or condition.</li> <li>- Number of facilities where prescription records kept for medicines dispensed</li> <li>- Number of healthcare providers involved in project, including Physicians, Pharmacists, Nurses, Dentists, and Midwives.</li> </ul>
	<b>Medical Equipment</b>	<ul style="list-style-type: none"> <li>- Numbers of medical equipment distributed, by type.</li> <li>- Numbers of people trained in use of medical equipment.</li> </ul>
	<b>Medical Supplies</b>	<ul style="list-style-type: none"> <li>- Amounts of medical supplies provided, by type.</li> <li>- Numbers of people trained in the use and disposal of medical supplies.</li> </ul>

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<b>Humanitarian Coordination and Information Management</b>	<b>Coordination</b>	<ul style="list-style-type: none"> <li>- Number of organizations coordinating.</li> </ul>
	<b>Information Management</b>	<ul style="list-style-type: none"> <li>- Number of organizations utilizing services.</li> <li>- Number of products accessed by clients.</li> </ul>
<b>Logistics / Relief Commodities</b>	<b>Non-food Items (NFIs)</b>	<ul style="list-style-type: none"> <li>- Number of beneficiaries receiving NFIs.</li> <li>- Number/amount in kg of commodities distributed.</li> <li>- Number of NFIs per beneficiary by NFI type.</li> </ul>

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<b>Nutrition</b>	<b>Community Therapeutic Care</b>	<p><b>General</b></p> <ul style="list-style-type: none"> <li>- GAM and SAM rates decreased to pre-crisis level. (Provide current crisis level and pre-crisis data.)</li> <li>- CTC program as a whole:</li> <li>- Coverage rate: in rural areas &gt;70%; in urban areas &gt;70%; in IDP camps &gt; 90%</li> <li>- Number of beneficiaries treated in the community-based therapeutic care program, disaggregated by age, under- fives, and adults and disaggregated by patients treated in the stabilization centers and the outpatient therapeutic programs</li> </ul> <p><b>Particular to Outpatient Therapeutic Programs (OTP)</b></p> <ul style="list-style-type: none"> <li>- Default rate: &lt;15%</li> <li>- Death rate: &lt;10%</li> <li>- Average length of stay in OTP: &lt;60 days</li> <li>- Weight gain: &gt;4g/kg/day</li> </ul> <p><b>Particular to Stabilization Centers (SC)</b></p> <ul style="list-style-type: none"> <li>- Average length of stay in SC 4-7 days</li> <li>- Referrals to hospital are &lt;10% of exits</li> </ul>
	<b>Nutrition Education</b>	<ul style="list-style-type: none"> <li>- Number of beneficiaries receiving nutrition education.</li> <li>- Percentage change in practice pertaining to nutrition education topics.</li> <li>- Number of health care providers trained in the treatment of moderate and severe acute malnutrition.</li> </ul>
	<b>Supplementary Feeding Programs</b>	<ul style="list-style-type: none"> <li>- MAM rates decreased to pre-crisis level. (Provide current crisis level and pre-crisis data, focusing on moderate acute malnutrition rates.)</li> <li>- Stand Alone SFP: Coverage rate: in rural areas &gt;50%; in urban areas &gt;70%; in IDP camps &gt;90% (Sphere Guidelines)</li> <li>- If the SFP is part of a CTC program then the coverage rate should be as follows: in rural areas &gt;70%; in urban areas &gt;70%; in IDP camps &gt;90%</li> <li>- Default rate: &lt;15%</li> <li>- Cure rate: &gt;75%</li> <li>- Death rate: &lt;3%</li> <li>- Number of beneficiaries treated in the SFP (disaggregated by under-fives and adults)</li> </ul>



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<b>Nutrition</b>	<b>Therapeutic Feeding Programs</b>	<ul style="list-style-type: none"> <li>- SAM rates decreased to pre-crisis level (provide current crisis level and pre-crisis data)</li> <li>- Number of beneficiaries treated in the TFP (disaggregated by under- fives and adults)</li> <li>- Coverage rate: in rural areas &gt;50%; in urban areas &gt;70%; in IDP camps &gt; 90%</li> <li>- Default rate: &lt;15%</li> <li>- Death rate: &lt;10%</li> <li>- Cure rate: &gt;75%</li> </ul>
<b>Protection</b>	<b>Child-Friendly Spaces and/or Youth Centers</b>	<ul style="list-style-type: none"> <li>- Number of spaces created.</li> <li>- Percent of targeted children using the spaces/centers.</li> <li>- Number of youth trained in a vocation.</li> </ul>
	<b>Coordination, Personnel, and/or Advocacy</b>	<ul style="list-style-type: none"> <li>- Number of protection officers provided.</li> <li>- Numbers of policies or procedures modified as a result of this program to include protection language.</li> </ul>
	<b>Family Reunification and/or Child Tracing</b>	<ul style="list-style-type: none"> <li>- Number of children united with their families.</li> <li>- Number of systems established to coordinate reunification and tracing.</li> </ul>
	<b>Gender-Based Violence and/or Women's Centers</b>	<ul style="list-style-type: none"> <li>- Number and type of GBV services made available to targeted population.</li> <li>- Number of complex GBV cases successfully referred to specialists.</li> <li>- Number of women trained/sensitized in GBV issues</li> <li>- Number of men trained/sensitized in GBV issues.</li> </ul>
	<b>Psychosocial Services</b>	<ul style="list-style-type: none"> <li>- Percentage of targeted participants returning to productive family and community roles and responsibilities.</li> <li>- Numbers of individuals experiencing acute mental distress provided psychological first aid at health service facilities or in the community.</li> <li>- Number of individuals with psychiatric disorders referred to specialists and equipped facilities.</li> </ul>

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<b>Risk Reduction (Natural and Technological Disasters)</b>	<b>Hydrometeorological Disasters</b>	<ul style="list-style-type: none"> <li>- Percent improvement in the lead time for potential hydrometeorological hazards.</li> <li>- Number and percentage of participants retaining information gained during training.</li> <li>- Number of policies/procedures improved as a result of the program.</li> <li>- Number of people trained in hydrometeorological -related activities.</li> <li>- Number of people who will benefit from proposed hydrometeorological activities.</li> </ul>
	<b>Geological Disasters</b>	<ul style="list-style-type: none"> <li>- Number of people who will benefit from proposed geologic-disaster related activities.</li> <li>- Percent improvement in warning time for potential geologic events.</li> <li>- Number of policies or procedures modified as a result of the program to increase the preparedness for geologic events.</li> <li>- Number of people trained to reduce the impact of geologic events.</li> </ul>
	<b>Technological Disasters</b>	<ul style="list-style-type: none"> <li>- Number of people who will benefit from proposed activities.</li> <li>- Number of people who have retained knowledge obtained during training three months after the training.</li> <li>- Number of policies/procedures that have been modified to reduce risks to technological disasters.</li> <li>- Number of people trained on responding or prevention of technological disasters.</li> </ul>
	<b>Disaster Preparedness, Mitigation, and Management</b>	<ul style="list-style-type: none"> <li>- Percent improvement in time in responding to disaster.</li> <li>- Percent reduction in disaster response time.</li> <li>- Number of people retaining knowledge gained three months after training.</li> <li>- Change in the policies, legislation, regulations or behavior of communities, local and regional entities on disaster risk reduction and management.</li> <li>- Number of national hazard risk reduction plans or policies developed.</li> <li>- Number of people trained in disaster risk reduction and management.</li> <li>- Number of people who will benefit from reduced risk.</li> </ul>
<b>Shelter and Settlements</b>	<b>Camp Design and Management</b>	<ul style="list-style-type: none"> <li>- Number of households receiving shelter according to Sphere Guidelines.</li> <li>- Percentage of total affected population receiving shelter assistance.</li> <li>- Amount and percentage of approved project budget spent in affected local economy</li> </ul>
	<b>Emergency Shelter</b>	<ul style="list-style-type: none"> <li>- Number of households receiving shelter according to Sphere Guidelines</li> <li>- Percentage of total affected population receiving shelter assistance</li> <li>- Amount and percentage of approved project budget spent in the affected economy</li> </ul>
	<b>Shelter Hazard Mitigation and Environmental Management</b>	<ul style="list-style-type: none"> <li>- Number of shelters incorporating hazard mitigation measures</li> <li>- Number of settlements adopting hazard mitigation measures</li> <li>- Number of people receiving training</li> <li>- Number of project trainees retaining knowledge received for identified activities</li> <li>- Number of non-beneficiaries who learned and applied mitigation measures</li> </ul>
	<b>Transitional Shelter and Settlements</b>	<ul style="list-style-type: none"> <li>- Number of households receiving shelter according to Sphere Guidelines</li> <li>- Percentage share of total affected population receiving shelter assistance</li> </ul>

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<b>Water, Sanitation, and Hygiene (WASH)</b>		<ul style="list-style-type: none"> <li>- Amount and percentage of approved project budget spent in the affected economy</li> </ul>
	<b>Hygiene Promotion</b>	<ul style="list-style-type: none"> <li>- Number of water and sanitation committees revitalized, trained and/or established</li> <li>- Average cleanliness of water points three months after their completion (reported as percent of water points)</li> <li>- Average increase in good hand washing practices (reported as percentage of people)</li> <li>- Average increase in correct water usage practices (reported as percentage of people)</li> </ul>
	<b>Sanitation (Household Level)</b>	<ul style="list-style-type: none"> <li>- Number of household latrines constructed</li> <li>- Number of beneficiaries benefiting from household latrines</li> <li>- Number of communal/institutional latrines constructed</li> <li>- Number of beneficiaries benefiting from communal/institutional latrines</li> <li>- Number of household hand washing facilities introduced</li> <li>- Number of communal hand washing facilities introduced</li> <li>- Number of household waste management pits dug</li> </ul>
	<b>Other Environmental Health</b>	<ul style="list-style-type: none"> <li>- Number of community waste management facilities constructed</li> <li>- Average cleanliness of community waste management facilities 3 months after their completion (reported as the percent of facilities)</li> <li>- Number of animal pens constructed</li> <li>- Number of debris cleanups undertaken</li> </ul>
	<b>Water</b>	<ul style="list-style-type: none"> <li>- Number of protected water points established</li> <li>- Geo-coordinates of every protected water point established</li> <li>- Number of beneficiaries receiving water from protected water points</li> <li>- Number of liters available per person per day before the intervention</li> <li>- Number of liters available per person per day after the intervention</li> <li>- Number of minutes a family takes to collect water each day before the intervention</li> <li>- Number of minutes a family takes to collect water each day after the intervention</li> <li>- Percent of water points with 0 fecal coliforms per 100 ml</li> <li>- Percent of household water supplies with 0 fecal coliforms per 100 ml</li> </ul>

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<b>Cross-Cutting Themes</b>	<b>Artisanal Production</b>	<ul style="list-style-type: none"> <li>- Number and percentage of participants with increased production</li> <li>- Number and percentage of participants with increased sales</li> <li>- Average increase in income of participants in USD over the life of the program</li> </ul>
	<b>Capacity Building / Training</b>	<ul style="list-style-type: none"> <li>- Number of people trained</li> <li>- Number of people hired post-training</li> <li>- Percentage of beneficiaries using their skills training within their livelihood activity</li> </ul>
	<b>Cash Distribution</b>	<ul style="list-style-type: none"> <li>- Amount of money distributed per beneficiary.</li> </ul>
	<b>Cash for Work (CFW)</b>	<ul style="list-style-type: none"> <li>- Number of people employed in the CFW.</li> <li>- Percentage of beneficiaries reporting increased access to food and non-food items as a result of the program.</li> </ul>
	<b>Children</b>	<ul style="list-style-type: none"> <li>- Number of children assisted</li> </ul>
	<b>Conflict Resolution</b>	<ul style="list-style-type: none"> <li>- Number of activities undertaken to address conflict resolution</li> <li>- Number of people trained in conflict resolution techniques, procedures, or skills</li> </ul>
	<b>Gender Relations</b>	<ul style="list-style-type: none"> <li>- Percentage of the men and women in the targeted population or who report improvements in gender relations as a result of the activities</li> </ul>
	<b>HIV-AIDS</b>	<ul style="list-style-type: none"> <li>- Number of activities addressing HIV-AIDS</li> <li>- Number of people sensitized/trained in HIV-AIDS issues</li> </ul>
	<b>Host Communities</b>	<ul style="list-style-type: none"> <li>- Number of host communities assisted</li> </ul>
	<b>Host Government</b>	<ul style="list-style-type: none"> <li>- Number of activities involving collaboration with the host government</li> <li>- Total amount of funding devoted to supporting the host government</li> </ul>
	<b>Internally Displaced Populations (IDPs)</b>	<ul style="list-style-type: none"> <li>- Total number of IDPs assisted</li> <li>- Number of male IDPs assisted</li> <li>- Number of female IDPs assisted</li> </ul>
	<b>Information Systems / GIS</b>	<ul style="list-style-type: none"> <li>- Number of projects using GIS or geo-referenced data</li> <li>- Number of projects tracked using an information system</li> </ul>
	<b>Infrastructure Rehabilitation</b>	<ul style="list-style-type: none"> <li>- Number of infrastructure type constructed, or repaired/rehabilitated</li> </ul>
	<b>Livelihoods / Income Generation</b>	<ul style="list-style-type: none"> <li>- Number of people assisted with livelihoods interventions</li> <li>- Average amount of income in USD generated by participant/month</li> </ul>

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<b>Cross-Cutting Themes</b>	<b>Market Rehabilitation</b>	<ul style="list-style-type: none"> <li>- Number of markets rehabilitated/created</li> <li>- Number of cooperatives created</li> <li>- Number of participants trained in marketing skills</li> <li>- Percentage of targeted beneficiaries with increased engagement in economic activities</li> <li>- Number/percentage of targeted small businesses with increased revenues relative to baseline</li> </ul>
	<b>Micro-Finance / Micro-Credit</b>	<ul style="list-style-type: none"> <li>- Number of individuals receiving micro-credit assistance</li> <li>- Number and percentage of micro-credit recipients who rehabilitate or establish new businesses</li> <li>- Average amount (in USD) of increase in income of participants over the life of the program (based on pre-program baseline)</li> </ul>
	<b>Nomads / Pastoralists</b>	<ul style="list-style-type: none"> <li>- Number of nomads/pastoralists assisted</li> </ul>
	<b>Protection Mainstreaming</b>	<p><b>Coordination / Information Management Sector:</b></p> <ul style="list-style-type: none"> <li>- Percent of disseminated documents that include protection information</li> <li>- Percent of disseminated documents that safeguard sensitive information.</li> </ul> <p><b>Economy and Market Systems Sector:</b></p> <ul style="list-style-type: none"> <li>- Percent of income-generating activities that reduce risks for targeted population</li> </ul> <p><b>Agriculture and Food Security Sector:</b></p> <ul style="list-style-type: none"> <li>- Percent of vulnerable populations receiving full designated rations</li> <li>- Percentage of women escorted to agricultural fields in insecure areas</li> </ul> <p><b>Health and Nutrition Sectors:</b></p> <ul style="list-style-type: none"> <li>- Number and types of gender-based violence (GBV) services provided</li> <li>- Percentage of targeted staff trained in protection sensitivity</li> <li>- Number of systems of privacy protocols established and adhered to</li> </ul> <p><b>Shelter and Settlements Sector:</b></p> <ul style="list-style-type: none"> <li>- Number of settlement solutions provided that reduce the need for large camps</li> <li>- Percent of camps sited away from conflict and borders</li> </ul> <p><b>WASH Sector:</b></p> <ul style="list-style-type: none"> <li>- Percentage of latrines built with separate facilities for men and women</li> <li>- Percentage of latrine facilities providing escort services for women and girls where necessary</li> <li>- </li> </ul>

**USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

<b>Cross-Cutting Themes</b>	<b>Returnees</b>	<ul style="list-style-type: none"> <li>- Number of returnees assisted</li> <li>- Number of returnees settling permanently in home village or new area</li> </ul>
	<b>Slavery / Trafficking</b>	<ul style="list-style-type: none"> <li>- Number of people trained in slavery and trafficking sensitivity</li> <li>- Number of individuals removed from a slavery/trafficked status</li> </ul>
	<b>Vector Control</b>	<ul style="list-style-type: none"> <li>- Number of people trained in vector control</li> <li>- Number of hectares/sites/houses treated against vectors</li> </ul>
	<b>Vouchers</b>	<ul style="list-style-type: none"> <li>- Number of people receiving vouchers</li> <li>- Number of merchants participating in the voucher activity</li> <li>- Percentage of vouchers redeemed</li> <li>- Total monetary value of vouchers redeemed</li> <li>- Percentage of types of goods procured</li> </ul>

## **C. *Monitoring and Evaluation***

### **1. Monitoring Plans**

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

- The source, method, and time-frame for data collection;
- The office, team, or individual identified to undertake monitoring-related tasks;
- The quality assessment procedures that will be used to verify and validate the measured values of actual performance;
- The known monitoring limitations, the impact the limitations may have on program implementation, and the plans for addressing these limitations as applicable;
- The plans for data analysis, reporting, review, and use;
- The funds spent per sector against the total amount, in order to assess the rate of spending in relation to program implementation.

### **2. Evaluation Plans**

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

## V. COST/BUDGET GUIDELINES

Cost proposals must be submitted as a separate section, which is not subject to the page limitation of the program proposal. Cost proposals must be in USD only. USAID/OFDA will review the cost proposal in conjunction with the program proposal for purposes of cost realism. Cost realism is the relationship between the level of resources and their relative cost to the achievement of the performance targets. In addition to cost realism, USAID/OFDA will apply the following criteria to the cost/management proposal: allowability of costs, allocability of costs, reasonableness/effectiveness of costs, cost sharing or in-kind contributions, contributions of other donors, program income, and sufficiency of justifications for procurement of restricted goods.

### ***A. Documentation on Ineligible and Restricted Goods, Services, and Countries***

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

#### **1. Ineligible Goods and Services**

Budgets must not contain, and recipients may not procure, the following items with USAID/OFDA funds:

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

#### **2. Ineligible Suppliers**

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

#### **3. Restricted Goods**

The following items require procurement and approval in the initial award or prior to procurement:

- Agricultural commodities;
- Motor vehicles that are not manufactured in the U.S. (This includes long-term vehicle leases, i.e., six months or more.);
- Pharmaceuticals, both human and veterinary (including oral rehydration salts);



## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Pesticides;
- Fertilizer;
- Used Equipment;
- USG-owned excess property.

To facilitate award and program implementation and to reduce administrative burdens, the following additional guidance is provided and information requested at the time of application: (Please note that budget line-items and justifications must also be included.)

### **a. Agricultural Commodities:**

Food—other than for nutritional and health purposes—is generally not financed by OFDA. Seeds are subject to USAID Seed Grower's Certification Requirements. If the recipient cannot obtain a Seed Grower's Certificate (e.g., seed fair situations), the recipient shall document their files to indicate what quality assurance practices were followed in lieu of certification.

### **b. Motor Vehicles:**

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

### **c. Pharmaceuticals:**

Proposals that include pharmaceutical products or veterinary drugs should include in the technical proposal a "drug list" that provides the following information: the generic and brand name(s), strength(s)/concentration(s), dosage form(s), quantity(ies), unit package size(s), intended therapeutic use(s) of the identified pharmaceuticals, and the anticipated source(s). Purchases of all approved pharmaceutical products will be subject to a special provision for the procurement of medicines and pharmaceutical products that limits such purchases to U.S. Food and Drug Administration (FDA)-approved products/sources unless otherwise approved, requires the recipient to assume the risk of purchases of non-FDA approved products/sources, and requires submission of safety and efficacy information. USAID/OFDA funds may not be used for non-U.S. pharmaceuticals that infringe on valid U.S. patents.

### **d. Pesticides:**

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

### **e. Used Equipment:**

USAID/OFDA will generally not finance the purchase of used equipment, and any approval to purchase used equipment will normally require the applicant's assurance that the requirements of the program will be satisfied if the material purchased is used, rebuilt,

or reconditioned; that economic considerations justify procurement of used, rebuilt or reconditioned equipment; and that the price is reasonable. If the equipment is used, the justification shall explain why it is not to be rebuilt or reconditioned. In addition, the applicant must arrange for the inspection and appraisal of the equipment by an inspector approved by USAID with the understanding that the cost will be eligible for USAID financing only if the used equipment is subsequently approved for USAID/OFDA financing. This is a time-consuming and risky process; hence, used equipment should not be proposed for USAID/OFDA funding is at all possible.

**f. Fertilizers:**

Depending on the type to be purchased, fertilizers may be subject to additional requirements regarding concentrations, application, etc.

**g. USG-Owned Excess Property:**

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

**4. Foreign Policy Restricted Countries**

A full listing can be viewed at <http://www.usaid.gov/policy/ads/200/260.pdf>.

***B. Detailed/Itemized Budget***

The Detailed/Itemized Budget should list and account for individual line items within each object class category for each objective (sector).; Object class categories are logical groupings of costs, such as staff salaries, fringe benefits, travel, capital equipment, supplies, indirect costs, etc. (For more information, see the Sample Detailed Budget for Primary Funding Recipient and the Sample Detailed Budget for the Sub-Partner Recipient. Both documents are available at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants).

**Note on Shared Costs:** “Shared Costs” (i.e. costs that are not precisely allocable to a specific objective) should no longer be budgeted as a separate category because this results in under-reporting against sector based objectives. Instead, such costs should be allocated to each objective based on estimated utilization. Pursuant to 22 CFR 226.25 (c), U.S. NGOs may shift funds between objectives after award, and no approval is required (although notification of changes is mandatory). For non-U.S. NGOs, the standard provision entitled “Revision of Award Budget” requires the agreement officer’s approval to shift funds between objectives. However, since August 2005, all new awards with non-U.S. NGOs permit the organization to shift funds between objectives without the agreement officer’s approval, but subject to the CTO’s concurrence.

**NOTE ON USAID'S DISABILITY POLICY:**

- a) The objectives of the USAID Disability Policy are: (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities for individuals with disabilities in USAID policies, country and sector strategies, activity designs, and program implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: [http://www.usaid.gov/about\\_usaid/disability](http://www.usaid.gov/about_usaid/disability).
- b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID-funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end, and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

**NOTE ON STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION:**

- a) One of the objectives of the USAID Disability Project is to engage other USG agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities. As part of this policy USAID has established standards for any new or renovation construction project funded by USAID to allow access by people with disabilities (PWDs). The full text of the policy paper can be found at the following website: [http://www.usaid.gov/about/disability/financed\\_construction.html](http://www.usaid.gov/about/disability/financed_construction.html)
- b) USAID requires its implementing partners to comply with standards of accessibility for people with disabilities in all structures, buildings, or facilities resulting from new or renovation construction or alterations of an existing structure.
- c) Implementing partners must comply with the host country or regional standards for accessibility in construction when such standards result in at least substantially equivalent accessibility and usability as the standard provided in the Americans with Disabilities Act (ADA) of 1990 and the Architectural Barriers Act (ABA) Accessibility Guidelines of July 2004. Where there are no host country or regional standards for universal access or where the host country or regional standards fail to meet the ADA/ABA threshold, the standard prescribed in the ADA and the ABA will be used.
- d) *New Construction.* All new construction will comply with the above standards for accessibility.
- e) *Alterations.* Changes to an existing structure that affect, or could affect, the usability of the structure will comply with the above standards for accessibility unless the implementing partner obtains the USAID Agreement Officer's advance approval that compliance is technically infeasible or constitutes an undue burden or both.

Compliance is technically infeasible where structural conditions would require removing or altering a load-bearing member that is an essential part of the structural frame or because other existing physical or site constraints prohibit modification or addition of elements, spaces, or features that are in full and strict compliance with the minimum requirements of the standard. Compliance is an undue burden where it entails either a significant difficulty or expense or both.

- f) *Exceptions.* The following construction-related activities are excepted from the requirements of paragraphs (a) through (d) above:
1. Normal maintenance, re-roofing, painting, wallpapering, or changes to mechanical or electrical systems are not alterations, and the above standards do not apply unless they affect the accessibility of the building or facility; and
  2. Emergency construction (which may entail the provision of plastic sheeting or tents, minor repair and upgrading of existing structures, rebuilding of parts of existing structures, or provision of temporary structures) intended to be temporary in nature. A portion of emergency construction assistance may be provided to people with disabilities as part of the process of identifying disaster- and crisis-affected people as “most vulnerable.”

### **C. Budget Narrative**

The budget narrative justifies proposed expenses and explains how costs were estimated. The budget narrative allows the organization to provide the rationale for cost development, such as the methodology and assumptions used to determine individual costs, including engineering cost estimates, actual/current costs incurred, costs obtained through tenders or bids, catalog prices, published salary tables, etc. A thorough budget narrative will expedite the cost proposal review and prevent NGO field staff from having to revisit the proposal and provide justifications after proposal submission. For ease of review, budget narratives should follow the order of line items in the detailed budget, rather than by objective. An example of a Budget Narrative for both Primary funding recipients and sub-partner recipients can be found at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants).

### **D. Branding Strategy and Marking Plan**

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

#### **1. Branding Strategies and Marking Plans**

USAID also requires that applicants for grants and cooperative agreements submit a Branding Strategy and Marking Plan. The Branding Strategy describes how the program, project or activity is named and positioned and how it is promoted and communicated to beneficiaries and host country citizens. The Marking Plan details the public

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communications, commodities, activities, program materials, and other items that will visibly bear the USAID Standard Graphic Identity.

### (a) New Awards

All applicants submitting a proposal to USAID/OFDA for a new grant or cooperative agreement are required to submit a Branding Strategy and Marking Plan with their initial proposal submission. Applicants should also include, in the total estimated amount of the grant or cooperative agreement, all costs associated with branding (press conferences, media and promotional materials, photography, site visits, success stories, etc.) and marking (plaques, banners, signs, stickers, etc.). **Branding Strategies and Marking Plans submitted to USAID/OFDA will not be competitively evaluated, but negotiated pre-award and included as part of the award. It is recommended that items to be marked not be quantified.**

### (b) Award Modifications

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

## 2. Presumptive Exceptions

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys.

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent.

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official.

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts.

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Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk.

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities.

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law.

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

### 3. **Waivers**

The applicant/recipient may request, and the USAID/OFDA Director may approve, at any time before or after award, a waiver, in whole or in part, of the marking requirement and marking plan for compelling political, safety, or security reasons or if marking would cause adverse reaction in the host country. Implementing partners can submit waiver requests through the appropriate USAID/OFDA contact covering their respective country program. The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver. Approved waivers are not limited in duration but are subject to review by the USAID/OFDA Director at any time, due to changed circumstances. The Branding Strategy and Marking Plan must be prepared regardless of whether a waiver exists or is being requested. Approved waivers apply to primary awardees as well as sub-recipients. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant. Determinations regarding waiver requests are subject to appeal to the Assistant Administrator of DCHA. The recipient may appeal by submitting a written request to reconsider the USAID/OFDA Director's waiver determination to the Assistant Administrator. The proposal must also indicate whether the applicant will accept the award in the event that the any requested waiver is not approved.

### 4. **Checklist**

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

### ***E. SF-424***

The Office of Management and Budget requires the submission of the SF-424 package set forth in all proposals. The SF-424 can be accessed at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/grants).

### ***F. Completed/Signed Certifications and Representations***

All proposals must include the complete, current, and signed Certifications and Representations package. The Certifications and Representations can be accessed at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/grants).

### ***G. Voluntary Survey on Faith-Based and Community Organizations***

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

### ***H. Required Supporting Administrative Documentation***

- **Organizational Structure.** Applicants should explain how their headquarters and field office(s) are organized and explain how this structure is coordinated to achieve performance targets.
- **Accountability.** Applications should address whether the organization has a written management plan that provides for systems to ensure that staff members adhere to international humanitarian laws, codes of ethics, and standards of practice.
- **Details of cost sharing (matching) and in-kind contributions,** if applicable. USAID/OFDA will view in-kind contributions favorably during the cost proposal review.
- **Details of sub-award arrangements** to the extent they are known at the time of proposal development. NOTE: If sub-awards are anticipated and not explained in the original proposal, the agreement officer's approval (after award) is required before the sub-agreement may be executed.
- **Past Performance References.** Applicants should provide examples of past performance and sector expertise that demonstrate the organization's success in implementing similar programs. Include contact names, telephone numbers, and email addresses for any reference provided.
- For U.S. organizations only, copy of the **self-certification for compliance with USAID policies and procedures for personnel, procurement, property management, and travel.**



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- A copy of the organization's **U.S. Government Negotiated Indirect Cost Rate Agreement** (NICRA), if applicable.
- If **program income** (i.e., cost recovery or other revenues generated under the award except interest earned on USAID advances) is anticipated, the estimated amount should be reflected in the budget, and the Budget Narrative should describe how the program income is proposed to be treated, i.e., additive, cost-sharing, or deductive, or a combination thereof (See 22 CFR 226.24).
- Cost extension proposals (for modifications) must include a **"pipeline analysis,"** i.e., actual costs incurred through the end of the most recent financial reporting period and estimated costs through the end of the current award period, and the balance of funds that will not be expended by the end of the current award period, delineated by objective. Since unexpended funds will carry over to the cost extension period, the budget (by objective) for the cost extension period should be reduced by the amount of unexpended/carry-over funds.
- If **restricted goods** are proposed to be purchased, see guidance on page 31 for additional information. Restricted goods are agricultural commodities (including food and seeds), motor vehicles, pharmaceuticals (including oral rehydration salts), contraceptives, pesticides, used equipment, fertilizers, and USG-owned excess property.
- If the applicant has not received any previous USAID award, the proposal must include the **New Vendor Information Form**, which is accessible from [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants).

### BUDGET AND PROGRAM PLAN REVISIONS REQUIRING PRIOR APPROVAL

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

- A change in the scope or the objective(s) of the program, including extension of the grant/cooperative agreement duration (even if there is no associated budget revision requiring prior written approval) and, for non-U.S. NGOs, revision of funding allocated among objectives. (Note: All new awards since August 2005 permit non-U.S. NGOs to revise funding allocated among program objectives with the concurrence of the CTO.)
- The departure or replacement of key program staff who are personally identified in the application or award document.
- The absence of the approved program director for more than three months, or a 25 percent reduction in the time that the approved program director devotes to the program.
- The need for additional USG funding.
- The transfer of funds budgeted for indirect costs to absorb increases in direct costs, or vice versa.



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- The inclusion of costs that require prior approval in accordance with OMB Circular A-122 “Cost Principles for Non-Profit Organizations,” unless this requirement is specifically waived in the USAID grant agreement. Note: The two most commonly encountered types of costs that require prior approval are equipment purchases (defined as an article of tangible nonexpendable personal property having a useful life of one year or more and a per-unit purchase price of \$5,000 or more) and international travel. However, to the extent that equipment purchases and international travel are identified in the proposal and/or budget and incorporated into the award, prior approval is deemed to have been provided. (Note: International travel is “identified” in the proposal if the following information is provided: number of trips, number travelers per trip, and destination(s). The purpose of each trip should also be provided.
- The transfer of funds allotted for training allowances (direct payment to trainees) to other categories of expense.
- The sub-award, transfer, or sub-contracting of any work under an award, unless this activity is described in the application and funded in the approved budget of the award. This provision does not apply to the purchase of supplies, material, equipment, or general support services.

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

Requests should be made as soon as a change is required. USAID/OFDA will require time to provide prior written approval. Therefore, USAID/OFDA encourages organizations to allow a minimum of 10 days for unfunded changes and a minimum of 45 days for funded changes.

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

## VI. POST AWARD AND REPORTING GUIDELINES

The following guidance reflects OFDA's information needs. In addition to the required reports below, USAID/OFDA appreciates frequent information sharing on program implementation.

### ***A. Performance Baseline Data***

Unless the award requires a Monitoring and Evaluation (M&E) Plan to be submitted, or performance baseline data are already included in the proposal, the Recipient must submit performance baseline data, which describe the prevailing conditions of a beneficiary population and/or the situation at the onset of the disaster or program, the magnitude of the problem, and/or the needs that the Recipient's program will address. If necessary or appropriate, revised performance indicators and/or numerical performance targets (including appropriate rationale and justification therefore) must be submitted. If the award is for six month or longer, the baseline data must be submitted no later than 90 days after the effective date of the award. If the award is for less than six months, the baseline data must be submitted no later than 30 days from the effective date.

### ***B. Quarterly Program Performance Reports***

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

### ***C. Informal Reporting and Quantitative Data Collection***

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

### ***D. Financial Reporting***

In addition to standard financial reporting requirements, which are outlined in the award document, USAID/OFDA may request information about funding pipelines and funding availability when budget changes or additional funding are requested.

### ***E. Annual and/or Final Results Report***

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

not later than 90 days after expiration. Otherwise, the annual results report must be submitted not later than December 31. This report emphasizes quantitative as well as qualitative data and measures program impact using indicators. The starting point for results reporting should be the performance baseline data.

***F. Notifications***

The recipient must notify USAID/OFDA of developments that have a significant impact on the activities supported by the award, as well as problems, delays, or adverse conditions that materially impair the recipient's ability to meet the objectives of the program. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the problem.

***G. Award Close-out***

Award Close-Out requires the final results report, property inventory list, final financial report, and proposed equipment disposition. Refer to the award document for additional details and the address to which the final report should be sent.

### ***Recommended Periodic Program and Performance Reports Format***

<b>Organization's Headquarters</b> Contact Person: Mailing Address: Telephone: Fax: E-mail:	<b>Organization's Field</b> Contact Person: Mailing Address: Telephone: Fax: Email:
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## **PROGRAM OVERVIEW AND PERFORMANCE**

### **ACTIVITIES IN THIS QUARTER**

For each sector objective provide the following:

- Restate indicators and specific areas of activity
- Areas of activity—restate objectives and indicators
- Demographic profile of the targeted and reached population
- Number of individual beneficiaries (must specify number of IDPs within the population) **targeted AND reached**, by objective, during the reporting period
- A description of monitoring and evaluation methodology and surveillance data used to measure results
- Overall performance of the project:
  - Cumulative figures for both targeted and reached beneficiaries for all objectives. (Please indicate where there may be beneficiary overlap in services rendered.)
  - Quantitative and qualitative data addressed against selected indicators
  - Achievements, constraints encountered and how addressed, and adjustments made to any objective or significant shifts in types of activities being undertaken
  - Success stories

### **ANTICIPATED ACTIVITIES FOR NEXT QUARTER**

Briefly highlight upcoming activities.

### **PROGRAM ISSUES OR CONCERNS**

Provide information on any issues that do or could impact program performance.

## VII. Additional Program Description Requirements (APDRs)

### A. *Sector: Agriculture and Food Security*

#### Available sub-sectors

Fisheries	Seed Systems and Agricultural Inputs
Livestock	Veterinary Inputs/Vaccines
Pests and Pesticides	

#### Background

Agriculture system interventions in a region must be planned within a systems context, taking into account the people, crops, livestock, natural resource base, land tenure, government policies, access to inputs, market factors, cultural norms, nutrition shortfalls, infrastructure, as well as the interrelationships among all of these factors. Effective solutions require that interventions cross sectoral boundaries. Even within a farming community, households may be diverse in terms of asset holdings, available labor, and social networks; interventions may need to address these differences at the household level.

Agriculture and Food Security initiatives supported by USAID/OFDA are designed to be timely, and immediately useful for vulnerable populations. However, any relief or mitigation interventions undertaken in a region should tie directly into ongoing development programs or should set the stage for later development work. USAID/OFDA supports innovative programs in agriculture and food security and is willing to pilot new methodologies, tools, and techniques. As much as possible under the circumstances, interventions should be sustainable and community-focused.

#### **Sub-Sector: Fisheries**

#### Needs Assessment Summary

- The targeted communities should be familiar with or have a previous history of engagement in the proposed fisheries activities. A disaster context is often not an appropriate time to introduce fisheries programs to a community for the first time due to social and environmental considerations that take considerable effort to address adequately.
- Describe how the benefits from this activity (nutrition, enhanced income) will outweigh any possible costs (damage to the environment, overexploitation of stocks, social tensions).
- For capture fisheries programs, what is the estimated local catch or effort currently, versus what could be achieved with this program? For aquaculture programs, what is the estimated local production currently, versus what could be achieved with this program?

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Have past or current post-harvest or post-production fish losses been assessed? If post-harvest losses are high, what improvements in transportation, marketing, and fish processing (drying, smoking, salting) have been identified?

### **Justification for Intervention**

Provide a brief overview of past and current fisheries or aquaculture activities in the area. What are the current constraints to optimal management and production or capture of local fish resources? Describe the rationale for rehabilitating or improving the capture fisheries system in this area.

### **Examples of Activities**

#### *Capture Fisheries*

- Provision of boats or fishing gears
- Training/sensitization in capture techniques, and ecosystem, and/or fisheries management
- Equipment/training for fish processing
- Equipment/training for fish marketing

#### *Aquaculture*

- Equipment/training for fish culture(pond or cage construction; water management; disease control, etc)
- Training/sensitization for raising fish and managing ponds/cages
- Equipment/training for fish processing
- Equipment/training for fish marketing

### **Beneficiary Issues**

#### *Capture Fisheries*

- Local fisherfolk—often a disenfranchised class--should be the main focus of any fisheries initiative. How will the program protect the fisherfolk from being displaced by entrepreneurs, businessmen or other influential individuals? What are the criteria for choosing the participants?
- Will women fishers, processors, and traders (where present) be able to maintain their roles in this program? How does the proposal address this issue?
- The distribution of high-value inputs such as engines, boats, or large nets can create severe tensions among individuals and families in fishing communities. How would these effects be mitigated?

#### *Aquaculture*

- Are women and children, who are often responsible for the daily care of the fish, able and willing to fit additional chores into their schedules? How will they benefit from this activity? How are such gender considerations being addressed?
- Do the communities have past experience with raising aquatic species in ponds/pens/rivers/lagoons/bays? Is training in appropriate or improved methodologies included in this initiative?
- Do the project participants own the land on which the pond will be located or have ready access to the waters where pens will be located? Do they have use rights? What use-rights mechanisms will be put into place for this intervention? Can the species in the ponds/pens be protected from theft?

**Capture Fisheries**

- Local customs or national fishing laws specifying mesh size, total allowable catch, protected grounds, species restrictions, vessel and fisher licensing, etc., can be safeguarded. Systems can be set up to address violations.
- No non-target aquatic species (plant or animal) will be harmed by the fishing gears proposed. Monitoring and/or surveillance activities will be implemented to protect the aquatic ecosystem.
- Affordable and reliable sources of fishing gears and materials can be established and maintained.
- Local fish stocks can withstand the added fishing pressure in both the short and long term.
- The fresh and processed fish markets and marketing structures are able to absorb the increased catch.
- If any of the above or other social, technical, or environmental problems are identified during the life of the program, they will be addressed or rectified.
- Fishing grounds remain safe to access.
- Fish stocks are adequate for harvest without sustaining long-lasting damage.

**Aquaculture**

- Caring for fish will not put caretakers at risk of attack or exploitation.
- The local soil has sufficient clay content to retain water. There is sufficient rainfall/sources of water to maintain a fresh supply. There is sufficient water free of contaminants and pollution to raise healthy stock.
- If pens are involved, pollution of the local water will be monitored and addressed. A significant numbers of trees will not be cut down to build ponds/construct pens, in order to avoid complications from deforestation. Exotic species of fish will not be introduced because they can cause serious disturbance and damage to the ecosystem.

**Indicators**

**Capture Fisheries:**

- Number of people provided fishing or processing equipment
- Number of people trained
- Number of kilograms of fish captured/fisher/month
- Average number of kilograms of fish consumed/week/fisher household
- Average monthly income from captured fish/fisher or household

**Aquaculture:**

- Number of fish farmers provided equipment
- Number of fish farmers trained
- Number of kilograms of fish harvested/fish farmer or household/six-month period
- Average number of kilograms of fish consumed/week/fish farmer household
- Average income (in USD) from fish sales/fish farmer/week

**Information Resources**

International Center for Living Aquatic Resources Management (an international research organization devoted to improving the productivity and management of aquatic resources for the benefit of users and consumers in developing countries).

[http://www.dec.ctu.edu.vn/cdrom/cd6/projects/iclarm\\_1197/index-1.htm](http://www.dec.ctu.edu.vn/cdrom/cd6/projects/iclarm_1197/index-1.htm)

## Sub-Sector: Livestock

### **Needs Assessment Summary**

Provide accurate and timely assessment information, including discussions of:

- What sectors of the population are affected by the current livestock crisis; actions being taken to preserve or sell livestock assets; and whether the traditional livestock movement corridors are still open.
- Current levels of livestock loss; the projected loss of livestock if no action is taken; the duration and severity of the current emergency; problems that livestock owners have identified; recent market fluctuations; and projected trends.
- For animal health proposals, veterinary services available in the region, such as access to care and to drugs; vaccination coverage; and sustainability of the system (for example, cost recovery mechanisms). If there are functioning animal health systems in the region, discuss how this project is coordinated with them.
- Market dynamics; any project implications on the normal functioning of the market; and whether incentive for production will be reduced as a result. Include a discussion on the contextual market trends in the affected area(s). Discuss trends and fluctuations in terms of trade.

### **Justification for Intervention**

- Describe the decision-making process in identifying the proposed actions, and which stakeholders participated in the process. Discuss local, tribal, and/or national government support, and how the proposal accommodates those who are most vulnerable.
- Explain how livestock needs can be supported, and discuss the costs/benefits of various interventions. Explain how the proposed intervention might affect the environment and what steps are being taken to avoid further degradation. Special attention to carrying capacity, both from supply and demand sides, is recommended.

### **Examples of Activities**

- Training and equipping of community animal health workers (CAHWs)
- Destocking
- Restocking\*
- Provision of feed
- Improvement of grazing lands

*\* Restocking proposals should be supported by a detailed analysis of traditional restocking mechanisms, data on the extent to which they are still functioning, and sound reasons why these mechanisms should be disrupted or supported. In many cases, nature enforces stocking levels by producing only minimal forage – in cases where the stocking rate has been exceeded, can other livelihoods be introduced? Discuss where animals will come from, how veterinary care will be provided, and availability of feed and water for additional livestock in the region.*

### **Beneficiary Issues**

- Describe how beneficiaries are selected, and any training or sensitization needed. What steps will be taken to ensure the participation of women and youth, where appropriate?



### **Technical Design**

- If poultry projects are being proposed, contingency plans are in place in case of an avian influenza (AI) outbreak in the region of implementation, even if AI is currently not a threat.
- If forage or fodder is being considered, sustainability issues, particularly related to stocking rates and carrying capacity, have been considered and addressed.
- The long-term impacts of the intervention on the livestock sector have been examined. For example, describe how the intervention will ameliorate the stress the next time the same issues arise, such as drought, disease, competition for grazing land, etc.

### **Indicators**

- Number and percentage of targeted animals vaccinated
- Number of CAHWs trained
- Number of beneficiaries provided equipment

### **Information Resources**

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/pdf/livestock\\_guidances\\_11-19-02.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/livestock_guidances_11-19-02.pdf)

## **Sub-Sector: Pests and Pesticides**

**NOTE: Restricted goods such as pesticides, including those that are registered by the U.S. Environmental Protection Agency (EPA) for the same or similar purpose without restrictions, are subject to USAID's environmental regulations.** If it is believed that procurement, transport and/or use of these products are critical for the proposed program, describe how Reg. 216 requirements (see references below) will be satisfied prior to implementing the proposed activities. **It must be understood that even under such circumstances, a very compelling situation has to exist and sufficiently justified to engage in any pesticide-related activities.**

It is mandatory that pesticide safety procedures as prescribed in various documents, including the material safety data sheet on the container label or a brochure or in U.N. Food and Agriculture Organization's (FAO) pesticide code of conduct, EPA Pesticide Guidelines, USAID's Programmatic Environmental Assessment on emergency trans-boundary outbreak pests (ETOPs) and/or other relevant Pesticide Guidelines (see Technical Information Resources section for further detail) be strictly followed. USAID/OFDA discourages direct involvement by farmers or pastoralists in the handling and use of pesticides, especially ultra-low volume (ULV) products that require specialized equipment and care. These products are concentrated chemicals and pose greater risk to unqualified handlers. Describe procedures that will be implemented to adequately address these issues.

### **Needs Assessment Summary**

- Describe how the ETOPs have affected crops, pasture, and the local economy in the targeted communities.
- If the disposal of obsolete pesticides (OPs) is involved, discuss appropriate use, transport, handling, and disposal of these chemicals.

## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

- For pest management proposals, list the key pests and the specific life stages that are being targeted, and outline methodologies to be used.
- For OPs, describe the gravity of the problem and a safe, effective, and sustainable solution. If available, provide baseline data and brief explanation that can articulate the threats being posed by ETOPs and OPs.
- Describe how active participation of local entities, including the national crop protection staff, members of the health, environment, and other departments will be ensured.
- Explain how existing traditional tools and methodologies will be used in controlling ETOPs and other pests in a safer and environmental friendly manner.
- Be sure to describe the benefits and costs of the proposed ETOP/OP activities.
- USAID/OFDA encourages opportunities to explore innovative approaches and new methodologies for prevention and control of emergency pests and disposal of obsolete pesticides.

### **Justification for Intervention**

- Explain how controlling ETOPs could significantly contribute to food security, livelihoods, and overall economic well-being of affected communities.
- Explain why the ETOP problems cannot be addressed without outside assistance.

### **Technical Design**

- There is adequate capacity of the local crop protection systems, including trained pest control and pesticide application specialists, that can partner in the implementation of the proposed activities.
- That there will be adequate appropriate personal protective equipment to ensure the safety and security of those who handle these products. Only technicians sufficiently knowledgeable in crop protection and pesticide use will be employed.

### **Examples of Activities**

- Treat affected areas against pests.
- Establish an ETOP monitoring, surveillance, and control system
- Provide training in ETOP planning, implementation, and management.
- Provide training in the handling and disposal of pesticides.
- Establish an environmental safety awareness in emergency pest and pesticide interventions.

### **Beneficiary Issues**

- Describe how the proposed actions such as controlling and/or preventing ETOPs or disposing of OPs and empty pesticide containers will benefit vulnerable populations and communities or displaced people.
- Discuss opportunities for sharing resources with local communities, including farmers, pastoralists, extension agents, crop protection staff, and other stakeholders operating in the region, to address the problem safely and effectively.
- Describe how communities/households most affected by ETOPs will be identified and targeted.
- Describe how the safety and security of vulnerable communities, beneficial organisms, including domestic animals, natural enemies, bees, wildlife as well as the environment, will be protected during the course of ETOP control.

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Given that controlling ETOPs often relies heavily on pesticide spraying, describe pesticide use and handling among rural communities where the technical knowledge and appropriate materials are unavailable. If used, handled, transported or stored improperly, pesticides can seriously affect human health and the safety of the environment and beneficial organisms, including domestic animals, bees, aquatic organisms and others, and severely constrain available human and natural resources.

### **Indicators**

- Number of hectares treated against target pests
- Number of types of crops/pasture saved/protected against
- Number of liters/kilograms of obsolete and unusable pesticides removed and/or disposed safely
- Number of empty pesticide containers collected and disposed safely
- Number of farmers/pastoralists trained in ETOP operations

### **Information Resources**

- USAID Environmental Regulations (22 CFR 216):  
[http://www.usaid.gov/our\\_work/environment/compliance/22cfr216.htm#216.3](http://www.usaid.gov/our_work/environment/compliance/22cfr216.htm#216.3)
- Sections of Regulations 216 applicable to ETOPs described in ETOP Programmatic Environmental Assessment:  
[http://www.encapafrica.org/download/PEA\\_pestmanagement/index.htm](http://www.encapafrica.org/download/PEA_pestmanagement/index.htm)
- US Environmental Protection Agency: <http://www.epa.gov/eftpages/pesticides.html>
- UN/FAO: [http://ecoport.org/Resources/Refs/Pesticid/Code/PM\\_Code.htm](http://ecoport.org/Resources/Refs/Pesticid/Code/PM_Code.htm)
- USAID's Assistance for Emergency Locust/Grasshopper Abatement's (USAID/AELGA's) Pesticide User's Guide: A Handbook for African Extension Workers (hard copies available in Arabic, English, French, and Portuguese)
- *Guidelines for Rapid Environmental Assessment*. Developed by Charles Kelly for Benfield Hazard Research Center and CARE International.  
[http://www.benfieldhrc.org/disaster\\_studies/rea/rea\\_guidelines.htm](http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm)

<b>Sub-Sector: Seed Systems and Agricultural Inputs</b>
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### **Note: Information on Restricted Goods**

Fertilizers are also considered to be "restricted commodities" under USAID policies, but this does not mean that USAID/OFDA does not provide funding for fertilizers. The following issues relate to the USAID restrictions on fertilizer purchase:

1. Restrictions are placed due to the issues of "Buy America" and price parity, and the impact that large fertilizer purchases could have on availability. However, there are no limitations on the quantity of fertilizer that can be purchased locally. USAID policies regarding fertilizer and special approval requirements do not apply to locally purchased fertilizer, only to fertilizer that is purchased elsewhere. (Note: The policies are based on the purchase location, not the production location.) Local purchases do not pose any particular problems administratively / bureaucratically.

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

2. Regardless of place of origin, specifications (as per the USAID Commodity Eligibility Listing) must be followed, but the specifications only deal with inorganic fertilizers. There are no specifications on organic fertilizer.
3. Any non-local purchase of fertilizer must be approved, and may be problematic because of the time required to get the special approval.

When USAID/OFDA funds a proposal that includes fertilizers, a special provision is included authorizing the local purchase of fertilizer, and making the grantee responsible for compliance with the specifications in USAID Commodity Eligibility Listing, to the extent that there are specifications for the particular type of fertilizer. The specifications are merely meant to ensure the quality of the fertilizer so that it will do what it is intended to do, thereby safeguarding the use of USAID funds.

### **Needs Assessment Summary**

- For proposals providing agricultural inputs, assessment of seed needs *apart from food needs* is required. Needs must be identified according to access or availability, and limiting factors to productivity or storage in the region should be addressed. Disaster situations are not appropriate times to introduce new crops or unfamiliar varieties to farmers, unless it is done at a small-scale level, allowing farmers to experiment with these new crops and reduce risk.
- Describe the stress the agricultural system is currently under and compare to normal times. How will the benefits of the proposed activity outweigh any potential harm (e.g., effects on local markets, environmental degradation, etc.)?
- Describe how much land is available for each farmer, how far the land is from their homes, and any potential for conflict, particularly if land is being provided by host communities to IDP populations.
- Explain how seed distributions will be implemented, whether local systems for obtaining seed currently exist, and/or if there is a need for them to be circumvented. If seeds are to be distributed, describe distribution effects on local markets and seeds sourcing. Strong justification should be provided for non-local seed purchases, and for purchase of any hybrid seed.

### **Justification for Intervention**

- Describe the rationale for any agricultural intervention, based on the assessment information obtained. If seed provision is proposed, the rationale for crop choices should be clear.
- If a fertilizer or tool distribution is proposed, describe the rationale for these needs, including the rationale for the use of fertilizer, applications, training, sustainability, and program impact. Tool distributions should be carefully considered and justified in conflict settings.

### **Examples of Activities**

- Provision of seeds/seedlings and/or tools / irrigation supplies
- Seed multiplication programs
- Kitchen/home gardens/urban agriculture\*
- Training/sensitization/capacity building
- Organic fertilizer production
- Improved seed storage (excluding seed banks)\*\*

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

*\*Since home gardens are commonly proposed to serve the dual purpose of increasing production while improving nutrition and diversify diets, please refer to the nutrition APDRs for other resources for proposal development*

*\*\*OFDA discourages the construction of seed or cereal banks given their inherent lack of sustainability once the implementing agency leaves the area. If seed banks are being considered, discuss long-term sustainability and management in depth.*

### **Beneficiary Issues**

- How will the proposed activities affect the ability of beneficiaries and others who do not benefit from the program to obtain inputs?
- Describe how beneficiaries are selected, and how land is allocated to each farmer. Are there any land tenure issues that might arise? Will the land/seed combinations produce enough to feed a family, and if not, how will the shortfall in productivity be supplemented? Address security issues for the proposed project in terms of farm access, available land for farming, and potential sources of conflict.
- How will farmer choice play a role in the program design and interventions?

### **Technical Design**

- Any inorganic fertilizers funded by USAID/OFDA will be locally purchased and will adhere to USAID specifications, as described above; production of organic fertilizers by farmers (for example, composting, animal manure, etc.) will be encouraged.
- Proposed crop varieties are appropriate to the climate and the needs of the population, i.e., grown, known, and accepted by the beneficiaries. Crops can include roots and tubers, short-cycle crops, and are disease-resistant where appropriate. When appropriate, crops offered increase agro-biodiversity and fill nutritional gaps.
- If reforestation as a proposed preference is given to native species or non-environmentally detrimental species.
- Distribution method is directly linked to seed system/needs assessment.
- Seed quality can be assured. **Note:** If a seed grower's certificate cannot be obtained (e.g., seed fair programs) the implementing partner will indicate what quality assurance practices will be followed in lieu of the certification.
- Potential market effects of distribution, local purchase or distribution of non-locally purchased seeds have been considered. In the event of local purchase from seed consolidators, every effort will be made to buy only from those who pay fair market value to the smaller farmers from whom they buy seed.
- Irrigation programs will be small-scale, sustainable, and well-justified as emergency interventions.

### **Indicators**

- Actual number of hectares (ha) planted with distributed seeds
- Number and percent of seed recipient farmers with sufficient seeds to plant fields for next agricultural seasons
- Number of months of food self-sufficiency due to distributed seed production for beneficiary families
- Number of gardens planted with distributed seed
- Number of seedlings provided

### **Information Resources**

- [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#seed%20guidance](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#seed%20guidance)

- [http://www.ciat.cgiar.org/africa/practice\\_briefs.htm](http://www.ciat.cgiar.org/africa/practice_briefs.htm)

<b>Sub-Sector: Veterinary Medicines and Vaccines</b>
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**Veterinary Medicines and Vaccines also are restricted goods.** The Grantee is required to become familiar with the USAID regulations governing the purchase of human and veterinary pharmaceuticals and vaccines. Please refer to the complete USAID regulations and procedures governing the purchase of human and veterinary medicines and vaccines.

**Indicators**

- Number of veterinary diseases/conditions identified
- Prevalence of disease in area of intervention, represented as both the percentage of total herd as well as the total number of affected animals. (For example, 5,000 goats, representing 22 percent of the total goat population in the area)
- Number of interventions, treatments or vaccinations administered
- Increase in number and percentage of animals vaccinated, by type, from baseline of pre-program numbers vaccinated

## ***B. Sector: Economy and Market Systems***

**Economic Recovery is the only sub-sector under the Economy and Market Systems sector. As such, it is of critical importance that appropriate cross-cutting themes be selected to further describe Economic Recovery activities. Most of the activities that fall under the Economy and Market Systems sector are contained within the cross-cutting themes. The indicators at the sub-sector level can apply to a broad range of activities whereas the cross-cutting theme indicators can apply to more specific activities. Applicants are strongly encouraged to incorporate indicators from both levels into proposed activities.**

### **Available sub-sectors**

Economic Recovery

#### **Background**

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

The third leg of OFDA's mandate is to mitigate the economic impact of disasters. Through focusing on economies (household, local, and regional) and market systems, activities within this sector seek to jumpstart economic activity within disaster-affected populations. Such initiatives should be highly participatory, labor intensive, and seek to repair livelihoods in a way that does not significantly alter the local economy from its pre-disaster state. All activities within the Economy and Market Systems sector should be based on a comprehensive understanding of the pre-disaster economic structure of the area of implementation. Programs should also rely on local skills and capacities and minimize damage to the natural environment.

USAID/OFDA is a proponent of market-based interventions and encourages organizations to investigate creative alternatives to traditional supply-side distributions. Market-based interventions use local markets to supply needed goods and, consequently, distribute economic benefit far beyond the direct beneficiary population. Supply-side distributions (e.g. direct provision of commodities like food and non-food items) oftentimes bypass local markets thereby marginalizing area merchants and significantly distorting local economies. Where supply is constrained by access (commodities are available locally but people lack sufficient money to buy them), USAID/OFDA encourages market-based interventions. Where commodities are not available locally, supply-side distributions are justifiable.

## Sub-Sector: Economic Recovery

### Overview

The Economic Recovery sub-sector covers a wide variety of activities. However, most activities are designed to achieve between one and three objectives:

- Increase individual purchasing power;
- Restore productive assets;
- Support the resumption of market activity.

Examples of activities that fall under each area can be found below. Additionally, indicators for each area are provided below.

### Needs Assessment Summary

Describe the predominant livelihood patterns of the target population, how disaster has affected those livelihood patterns, and what coping mechanisms the target population is currently implementing to sustain itself.

For activities focused on market revitalization, describe the current state of commerce in the area, the pre-disaster commerce pattern, and obstacles to the resumption of economic activity (destroyed roads, loss of productive assets, reduction of purchasing power within area households, etc.).

### Justification for Intervention

Provide a detailed description of the current economic state (household, local, or regional) with an explanation as to why the current program is warranted. Special attention should be paid to those conditions that contribute to sustained economic vulnerability and how they are addressed within the proposed program.

### Examples of Activities

- Activities that seek to **restore individuals' purchasing power** to pre-disaster levels might include but are not limited to cash-for-work, cash distribution, vouchers, employment/job fairs, artisanal production, or livelihoods/income generation. See the list of cross-cutting themes for more information.
- Activities that seek to **restore productive assets** might include but are not limited to vouchers, cash distribution, or micro-credit. See the list of cross-cutting themes for more information.
- Activities that **support the resumption of market activity** in an area might include but are not limited to market rehabilitation, infrastructure rehabilitation, or livelihoods/income generation. See the list of cross-cutting themes for more information.

### Beneficiary Issues

- Ensure that, where possible, local markets are incorporated in the design of programs in an effort to spread the program's economic benefit to wider members of the community
- Establish a cash-for-work wage just below the minimum wage in order to draw workers that are currently out of work or otherwise not gainfully employed.



**Indicators**

***Individual Level***

- USD amount increase in purchasing power per beneficiary. This may consist of the total voucher amount per beneficiary, cash distribution amount, or cash-for-work payout. Note: For Cash-for-work payout, the “average pay/beneficiary over the life of the project” is preferable to “pay/beneficiary/day.”

***Market Level***

- Number of markets restored
- Kilometers of roads rehabilitated
- Number of fairs
- Total USD grant amount of fairs

***Local Economy Level***

- Total value in USD of all assistance provided directly to beneficiaries. This may consist of the sum of all cash-for-work salaries, cash distribution, vouchers, and value of locally-procured commodities. This indicator is designed to estimate the amount of money that is infused into the local economy through beneficiary-oriented activities. The indicator should not include staff salaries, operation expenses (office rent, vehicle rental, etc.), office supplies, etc.

**Information Resources**

- Creti, Pantaleo and Jaspars, Susanne. *Cash-Transfer Programming in Emergencies*. Oxfam. 2006.

## **C. Sector: Health**

### **Available sub-sectors**

Child Health	Maternal Health
Expanded Program of Immunization (EPI)	Health Education
HIV/AIDS	Pharmaceuticals
Medical Equipment	Medical Supplies

### **Background**

USAID/OFDA-supported health interventions should be based on internationally recognized, evidence-based strategies with proven track records for achieving the highest public health impact. These interventions should address the major causes of morbidity and mortality according to the local epidemiologic situation, including the prevention and treatment of malaria, measles, diarrhea, acute respiratory tract infections and malnutrition. (In countries with significant epidemiologic transition, this may vary.) It is essential that prevention strategies, including health education, accompany treatment protocols to work towards cost-effective programming for sustainable health systems.

To avoid establishing parallel systems, USAID/OFDA stresses that health strategies work with the Ministry of Health (MoH) and use national treatment and prevention protocols. Interventions must be coordinated through/with the MoH and the Health Cluster lead, such as the U.N. World Health Organization (WHO) or another designated lead organization.

### **Guidance for All Health Sub-Sectors**

The following provides general guidance for all health programs. It is followed by more specific indicators for each sub-sector. The specific sub-sector guidance and indicators should be considered supplemental to the points covered in this section. A wide range of indicators are provided for health in general and in each sub-sector. They should be reported on depending on the phase of the emergency and reflect what is feasible to measure according to the time, security, and local reality. These indicators are not exclusive, and other program indicators are welcomed.

### **Needs Assessment Summary**

For proposals with health components, USAID/OFDA requires that representative data be provided on baseline wasting and crude mortality, disaggregated by gender and age. USAID/OFDA will use these data to better target its relief interventions in crisis-stricken areas. Other areas to be covered include the following.

- Describe the demographic breakdown of the population [<5 years old, <1 year old, and women of reproductive age (15-49 years or as appropriate)], and mortality rates [crude death rate (CDR) or crude mortality rate (CMR), under 5 mortality rate (U5MR) or 0-5 death rate (0-5DR), under 1 mortality rate (U1MR), neonatal mortality rate, and maternal mortality ratio (MMR)].

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Describe the major causes of morbidity and mortality, including details such as incidence and/or prevalence of the most common diseases; age and gender breakdown; risk for epidemics (attack rates, case fatality rate) and/or natural disasters; vaccine preventable diseases including measles; basic reproductive health statistics; and other diseases to be addressed. Are there any population groups more susceptible to specific health problems? If so, identify the groups and the health problems to which they are more vulnerable.
- Describe the target population's access to health care, including facilities (categories, location [GPS coordinates, if available], distance, access to transport, number and quality of services, and equipment including laboratory); health care providers (levels, number, quality, and gender); essential medications, vaccinations, and reproductive health services; social barriers (gender, age, ethnicity, religion, refugees, returnees, and IDPs); use of traditional healers; and cost of health care services.
- Describe the current baseline data and control strategies in place for prevention, such as vaccination programs, hygiene, breastfeeding, water and sanitation, use of oral rehydration therapy (ORT), and insecticide treated bed nets (ITN).
- Describe response to the most common causes of morbidity and mortality including, at a minimum, measles, malaria, diarrhea, and acute respiratory tract infections (ARI).
- Describe what protocols are used including information, education, and communication materials, involved partners, and coordination mechanisms and government policies in place. What are the gaps in these strategies?
- Describe how access to quality health care (services, providers, supplies, referral systems) has changed following the disaster/crisis and/or after interventions if in place. Provide data if available.

### **Justification for Intervention**

- Describe the applicant's experiences in addressing health for the target population and the lessons learned. In particular, provide baseline and target data on results from previous USAID/OFDA or other donor-financed activities implemented by the applicant in the country. Explain progress or conditions that impeded progress in obtaining results in previous activities.
- Have any assessments or surveys such as household or knowledge, attitude, and practice (KAP) been made? If not, when will the assessments or surveys take place and who will conduct them?
- Describe how the organization will address gaps in the current system to support the MoH to prevent and respond to the most common diseases (malaria, diarrhea, ARI, measles); maternal and infant morbidity and mortality; HIV/AIDS prevention; sexually transmitted infections (STIs); expanded program of immunizations (EPI) (including measles); psychosocial issues (See the Psychosocial Services sub-sector of the Protection sector for further information); gender-based violence (GBV); epidemics; and/or natural disasters.
- Describe the standards and protocols including IEC materials that the organization will use for training and provision of health services (preventative and curative).
- Describe complementary activities of other donors and NGOs (local and international) in the target area.
- Describe the human, financial, and commodity resources needed to address the gaps. How will the applicant ensure a continuous supply of resources and complement partners' activities?

### **Examples of Activities**

Describe the activities to be carried out in the proposal as they relate to the following areas, as appropriate:

- Support to the government (if in place), including a memorandum of understanding
- Coordination with Health Cluster lead and/or humanitarian coordination body
- Health assessments and surveys (such as household and KAP)
- Epidemic preparedness and response activities, including disease surveillance
- Provision of health services; essential medicines, maternal and child health, health information systems (HIS), EPI, reproductive health (RH), HIV/AIDS prevention, prevention and treatment for STIs and GBV
- Health education for preventive health measures for the most common diseases, exclusive breastfeeding for the first six months of life, protection of infant and young child feeding, health care seeking behavior, and education for the prevention of HIV/AIDS, STIs, and GBV. Include activities to measure behavior change for these activities.
- Adaptation/creation of treatment and prevention protocols including IEC materials coordinated with the national health policy
- Training of health providers and community health educators and promoters
- Transitioning the relief operation into a sustainable health program run by the MoH or other organization
- Regular supervision and follow-up of health care providers and community health workers (CHW)

### **Beneficiary Issues**

- Describe the involvement of the community in planning, decision-making, and implementation. Indicate whether active community leaders are involved, and if so, what their role is in the community.
- Is the community represented by a balance of individuals taking into consideration gender, age, ethnicity, religion, and domiciliary (refugee, IDP, returnee) status?
- Are there specialized health services that address the needs of individuals taking gender, age, ethnicity, religion, and domiciliary status (refugee, IDP, returnee) into account?
- Are health care services accessible to these groups with regard to location, including safe access and distance, gender of health care provider, and confidentiality?

### **Technical Design**

- The existence of a functioning government.
- The MoH's acceptance of the proposed program activities.
- The MoH has a health policy that is based on international standards.
- Resources such as medical supplies, IEC materials, ITNs and vaccines are available and the delivery mechanism is reliable.
- The MoH, or other donors or other organizations such as local NGOs, are able to sustain the program independently upon completion of the project.

### **Indicators** (see sub-sectors for more detailed indicators)

- Number of USAID/OFDA-supported health facilities providing services to manage the most common diseases causing morbidity and mortality in the target population, including maternal and neonatal health

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Number of health providers and/or community members trained in areas such as the prevention and management of the most common diseases causing morbidity and mortality, maternal and neonatal health, EPI, HIV/AIDS prevention, and health education
- Utilization rates of USAID/OFDA supported health facilities
- Reduction in CMR or CDR with a target of less than 2x baseline or  $\leq 1/10,000/\text{day}$  if baseline unknown)
- Reduction in U5MR or 0-5DR maintained or reduced (target less than 2x baseline or  $U5MR \leq 2/10,000/\text{day}$  if baseline unknown.) *Note: When using either CMR or CDR and U5MR or 0-5DR, please maintain consistency of indicators in reporting.*

### **Information Resources**

- *The Sphere Project. Humanitarian Charter and Minimum Standards in Disaster Response.* Web: <http://www.sphereproject.org>.
- *Field Operations Guide for Disaster Assessment and Response*, USAID November 2005.  
[http://www.USAID.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#fog](http://www.USAID.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog)
- For infant and young child feeding in emergencies:  
<http://www.enonline.net/ife/index.html>

### **Sub-Sector: Child Health**

USAID/OFDA supports interventions that will decrease child morbidity and mortality and improve the services available to this target group. The child health sub-sector should also link with WASH and nutrition where appropriate. Follow the guidance above for all health programs on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions. The following additional indicators may be used in designing, monitoring, and evaluating Child Health activities. **(Please provide Health Education, EPI and Essential Medicine sub-sector indicators to compliment Child Health indicators):**

### **Indicators**

- **Malaria (in malaria endemic countries)**
  - Number and percent of total population, pregnant women, and < 5 effectively treated for malaria with appropriate anti-malarial
  - Percent of coverage with ITNs of target population (total, <5 and pregnant women)
  - Percent utilization of ITNs in target population (total, <5 and pregnant women)
  - Incidence rate of malaria (total, <5 and pregnant women)
  - Proportional morbidity from malaria (total, <5 and pregnant women)
  - Proportional mortality from malaria (total, <5 and pregnant women)
- **Acute Respiratory Tract Infections (ARI)**
  - Number and percent of population < 5 effectively treated for ARI with appropriate antibiotic
  - Proportional morbidity of children < 5 years of age from ARI
  - Proportional mortality of children < 5 years of age from ARI
- **Diarrhea**

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Number and percent of population < 5 effectively treated for diarrhea with ORT and zinc (antibiotic for dysentery) at the health facility and/or community level
- Percentage of children exclusively breastfed for at least 6 months or continued feeding
- Incidence rate of diarrhea
- Proportional morbidity of children < 5 years of age from diarrhea
- Proportional mortality of children < 5 years of age from diarrhea

### Sub-Sector: Maternal Health

USAID/OFDA supports interventions that will decrease maternal morbidity and mortality and improve the services available to this target group. Follow the guidance above for all health programs on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions. The following additional indicators may be used in designing, monitoring, and evaluating Maternal Health activities.

#### Indicators

- Number of providers trained in management of clean deliveries and detection of danger signs. (Indicate the type of provider, such as midwife or TBA.)
- Percentage of pregnant women who have attended at least 2 antenatal clinic (ANC) visits
- Percentage of pregnant women receiving iron and folic acid at the ANC
- Percentage of pregnant women who received a clean delivery kit
- Percentage of women vaccinated with tetanus toxoid (TT2)
- Percentage of pregnant women in their 2nd and 3rd trimester attending an ANC who receive intermittent presumptive therapy for malaria
- Percentage of pregnant women utilizing ITNs
- Percentage of pregnant women who deliver assisted by a trained provider (indicate type of provider such as midwife, TBA)
- Referral system for obstetrical emergencies in place
- Percentage of women who attend at least one postpartum visit with trained provider (including provision of Vitamin A where appropriate)
- Maternal mortality ratio (MMR)
- Neonatal mortality rate

### Sub-Sector: Expanded Program of Immunization (EPI)

Follow the guidance above for all health programs on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions. The following additional indicators may be used in designing, monitoring, and evaluating EPI activities and **should be reflected in Child Health programs**:

#### Indicators

- Immunization coverage <1 year age (DPT3, Polio3) and Hib (if part of the national EPI)

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Measles immunization coverage, ages 6 month to 15 years old (or 5 years of age depending on resource availability)
- Vitamin A coverage, 6 to 59 months

### **Sub-Sector: Health Education**

Follow the guidance above for all health programs on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions. USAID/OFDA supports health education activities as a cross-cutting intervention, integrated with other health interventions, or in some cases, as a stand-alone activity. The following additional indicators may be used in designing, monitoring, and evaluating Health Education activities:

#### **Indicators**

- Number of CHW trained in the prevention and community based management of diarrhea, ARI, malaria, measles, and maternal and infant health
- Number of health education and promotion sessions (or number of population targeted) provided to communities
- Percentage of target population properly washing hands at appropriate times (see hygiene section of WASH for more details)
- Percentage of target population with knowledge of and practicing two methods to prevent diarrhea
- Percentage of population properly managing diarrhea at home
- Percentage of women exclusively breastfeeding for six months
- Percentage of target population able to identify the transmission and prevention of malaria
- Percentage of utilization rate of ITNs in total population, children under 5, and pregnant women
- Percentage of target population with knowledge of when to seek care for children with respiratory difficulty, fever and diarrhea (dehydration), complications of pregnancy

### **Sub-Sector: HIV/AIDS**

USAID/OFDA supports the prevention of HIV/AIDS and STIs including health education and programs for safe blood supply. USAID/OFDA also supports the prevention of HIV/AIDS through the use of condoms. (For procurement and monitoring of condoms, contact the appropriate disaster operations specialist (DOS) or desk officer.) USAID/OFDA does not support the funding of routine testing for HIV/AIDS, voluntary counseling and testing centers (VCT), and treatment programs with antiretrovirals (ARVs). See the following additional indicators may be used in designing, monitoring, and evaluating HIV/AIDS prevention activities:

#### **Indicators**

- Number of providers (indicate type of provider, such as CHW, midwives, or nurses) trained in the prevention of HIV/AIDS and STIs

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Number of health education sessions (or number of population targeted) provided to communities
- Percentage of target population with the knowledge of two types of transmission and prevention of HIV/AIDS
- Percentage of health facilities where standard precautions are routinely practiced
- Percentage of referral centers with safe blood supply (based on laboratory validation)

### **Sub-Sector: Essential Medicines / Pharmaceuticals**

**NOTE:** If the applicant proposes to use USAID/OFDA funds for the purchase of essential medicines, please provide all requested information in a separate section of the project proposal clearly labeled “Essential Medicines / Pharmaceuticals”

#### **Information on Restricted Goods**

*Pharmaceuticals and vaccines are restricted goods. The applicant/recipient is required to become familiar with the USAID regulations governing the purchase of human and veterinary pharmaceuticals and vaccines. This information is provided at the end of this section.*

#### **Needs Assessment Summary**

In addition to the guidance provided at the sector level for needs assessments of all health programs, Essential Medicines / Pharmaceuticals activities should describe:

- Information on the role of the MoH efforts in addressing the identified healthcare needs.
- Information on the essential medicines and quantities that may be needed to treat the identified healthcare needs.
- A copy of the MoH's Essential Medicines formulary or, if absent the WHO Essential Medicines List with the proposed essential medicines to be purchased clearly marked.
- Information identifying the source for essential medicines currently being used by the MoH.

#### **Justification for Intervention**

Follow the general guidance provided for all health programs.

#### **Examples of Activities**

- Identify the individual, preferably a pharmacist who will be responsible for the proper ordering, receipt, storage and dispensing of essential medicines needed for the planned intervention.
- Provide a clear description of the essential medicines procurement process.
- Provide information on the activities to be undertaken to assure that the essential medicines are properly and securely stored.

#### **Beneficiary Issues**

In addition to the guidance for all health programs, describe:

- What steps the NGO will take to ensure that the target population will receive quality, safe and effective medicines.
- What quality control measures will be in place to ensure the right drug at the right dose goes to the right patient.



## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Whether a cost recovery plan (co-payment) is required of the beneficiary, and if so,
  - How the cost was determined.
  - Where the collected funds will go. (For example, the MOH, an NGO, or a local clinic.)
  - Whether all patients will be required to pay; and if not, how the payment scale will be established..

### **Technical Design**

In addition to the Technical Designs for all health programs:

- The essential medicines selected for the project are appropriate for the drug resistance patterns in the region.
- The local population will take/use prescribed medications.
- Affordable and reliable sources of essential medicine can be established and maintained throughout the project period.
- Only quality, safe, and effective medicines will be purchased and records will be provided that support this.
- Essential medicines will be safely and securely stored to protect stocks from theft, environmental damage and infestation by pests.
- Essential medicine ordering records and supporting information as required in the attached “OFDA Rx Procurement Guidelines” will be maintained.
- Prescription records will be maintained for each patient.
- Confidentiality of medical information will be assured.

### **Indicators**

- Number of patients treated for a particular targeted disease or condition
- Number of facilities where prescription records kept for medicines dispensed
- Number of healthcare providers involved in project:
  - Physicians
  - Pharmacists
  - Nurses
  - Dentists
  - Midwives

### **Information Resources**

Refer to <http://www.usaid.gov/policy/ads/300/312.pdf> for USAID regulations governing the procurement of pharmaceuticals using USAID funds.

**Note: The following is the form that USAID/OFDA personnel use to track pharmaceutical requests, and should be used as an aide for implementing partners.**

## USAID/OFDA Checklist for Reviewing/Approving Purchases of Essential Medications

Name of NGO:  
 NGO Address:  
 Contact Information:  
 Project title/Country :  
 Principal contact at head office:  
 Name of person responsible for medication control:  
 Project Period:

Please be certain that EACH page of all documentation sent to USAID/OFDA has the a) name of the NGO, b) country of intervention, c) project title, d) page number, e) version date.

1. NGO proposes to utilize OFDA/USAID funds to procure pharmaceuticals?  

☐ Yes ☐ No
2. Does the NGO propose to procure U.S. Food and Drug Administration (FDA)-approved pharmaceuticals? If yes, stop.  

☐ Yes ☐ No

**Waiver:**

3. Has the NGO submitted acceptable justification for not using FDA approved products?  

☐ Yes ☐ No

  - a. Unavailable in country? ☐ Yes ☐ No
  - b. 50% cheaper than FDA approved medications? ☐ Yes ☐ No
4. Has the grantee submitted a concise list including:  
  - a. Name of drug. ☐ Yes ☐ No
  - b. Dosage of drug. ☐ Yes ☐ No
  - c. Form of drug. (Tablet, capsule, injection etc.) ☐ Yes ☐ No
  - d. Indication for which drug will be used. (Based on project.)  

☐ Yes ☐ No
  - e. Unit of purchase. (I.e. bottle of 500 tablets.) ☐ Yes ☐ No
  - f. Cost for each Unit of Purchase in USD. ☐ Yes ☐ No
  - g. Extended cost for particular drug in USD. ☐ Yes ☐ No
  - h. Total cost for all proposed pharmaceutical purchases in USD.  

☐ Yes ☐ No
  - i. Does the total cost match the project "essential medications" line item?  

☐ Yes ☐ No
5. Do the medications comply with the country of intervention's national drug formulary or WHO Essential Drugs List?  

☐ Yes ☐ No
6. Copy of national drug formulary or WHO Essential Drug List with medications highlighted. ☐ Yes ☐ No
7. Are the pharmaceuticals proposed deemed appropriate for the intervention?  

☐ Yes ☐ No
8. Name, address and contact information of drug wholesaler. ☐ Yes ☐ No

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

9. Certification that drug wholesaler is licensed to sell pharmaceuticals and has proper storage conditions. ☐ Yes ☐ No

### Final Approval:

10. Does the Grantee have a waiver from USAID/OFDA to purchase essential medications using USAID/OFDA funds? ☐ Yes ☐ No
11. Has the NGO submitted the following LEGIBLE documents:
- a. Within 90 days of end of project period? ☐ Yes ☐ No
  - b. Copy of the invoice(s) with prices? ☐ Yes ☐ No
  - c. Copy of delivery notice(s) with lot number for each product? ☐ Yes ☐ No
  - d. Copies of Packing Lists? ☐ Yes ☐ No
  - e. Certificates of analysis or sufficient information demonstrating the safety, efficacy, and quality of each product procured each product. ☐ Yes ☐ No
  - f. Good Manufacturing Practice (GMP) Certificates ☐ Yes ☐ No
12. Do all medications have at least 12 months before the expiration date from date of delivery? ☐ Yes ☐ No

### Sub-Sector: Medical Equipment

**Medical Equipment:** These are commodities that may generally be reused after proper cleaning and disinfection have taken place. The term “durable medical equipment” is also used. Medical equipment includes such items including, but not limited to, sphygmomanometers, baby scales, birthing tables, x-ray machines, and ventilators. USAID/OFDA is interested whether the medical equipment purchased for use in an intervention is appropriate.

#### Needs Assessment

The targeted communities should have available survey results that provide a clear indication of the health conditions and diseases that are prevalent in the targeted population.

- This information should be presented as both raw numbers and a percentage of the total population in the area of intervention. Include data on the numbers of children, adolescents, women and adults impacted.
- Provide information on the role of the host-country MoH efforts in addressing the identified healthcare needs.
- Provide information on the medical equipment needed to treat the identified healthcare needs.

#### Justification for Intervention

Provide a brief overview of past and current interventions with medical equipment in the host country. Explain why the medical equipment is necessary and how it will be used.

#### Examples of Activities

- Provision of medical equipment

- Training in the use of medical equipment

### **Beneficiary Issues**

A patient may be injured if medical equipment fails or is of poor quality. For example, a malfunctioning x-ray machine may cause burns or an improperly calibrated sphygmomanometer may give false readings. How will the NGO assure that the medical equipment is safe and of good quality?

### **Technical Design**

- The medical equipment selected for the project is appropriate for the conditions being treated.
- Healthcare workers are properly trained in the use of the medical equipment.
- The medical equipment will be properly maintained with correct replacement parts, service agreements, and properly trained technicians.
- Only quality medical equipment will be purchased and that records will be available that support this.
- Medical equipment will be safely and securely stored to protect from theft, environmental damage and infestation by pests.

### **Indicators:**

- Numbers of medical equipment distributed, by type
- Numbers of people trained in use of medical equipment

## **Sub-Sector: Medical Supplies**

***Medical Supplies: These are commodities that are generally “expended” or “disposed of” after treating a patient. Medical supplies include such items as single-use syringes, bandages, tongue depressor blades, suture materials, and both surgical and exam gloves. USAID/OFDA is interested whether the medical supplies and quantities used in an intervention are appropriate.***

### **Needs Assessment**

In addition to the guidance provided at the sector level for needs assessments of all health programs, Medical Supplies activities should describe:

- The targeted communities should have available survey results that provide a clear indication of the health conditions and diseases that are prevalent in the targeted population.
- This information should be presented as both raw numbers and percentage of the total population in the area of intervention. Include data on the numbers of children, adolescents, women and adults impacted.
- Provide information on the role of host-country MoH efforts in addressing the identified healthcare needs.
- Provide information on the medical supplies and quantities that are needed to treat the identified healthcare needs.

**Justification for Intervention**

Provide a brief overview of past and current interventions with medical supplies in the host country. Explain why the medical supplies are necessary and the steps being taken to assure sustainability.

**Examples of Activities**

- Provision of medical supplies
- Training in the use and disposal of medical supplies

**Beneficiary Issues**

A major source of infection is the re-use of “disposable” medical supplies or the use of reusable medical supplies without proper sterilization. What steps will be taken to ensure that the target population will receive quality medical supplies?

**Technical Design**

- The medical supplies selected for the project are appropriate for the conditions being treated.
- Healthcare workers are properly trained in the use of the medical supplies.
- Affordable and reliable sources of medical supplies can be established and maintained throughout the project period.
- Quality medical supplies will be purchased and that records will be available that support this.
- Medical supplies will be safely and securely stored to protect stocks from theft, environmental damage, and infestation by pests.

**Indicators:**

- Amounts of medical supplies provided, by type
- Numbers of people trained in the use and disposal of medical supplies

**Information Resources**

- *Guidelines for Rapid Environmental Assessment.* Developed by Charles Kelly for Benfield Hazard Research Center and CARE International.  
[http://www.benfieldhrc.org/disaster\\_studies/rea/rea\\_guidelines.htm](http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm)

## ***D. Sector: Humanitarian Coordination and Information Management***

### **Available sub-sectors**

Coordination

Information Management

In response to humanitarian crises, coordination is of paramount importance, as good coordination saves lives. Information management is a key component of effective coordination. In all programs coordination and information management are essential for the delivery of humanitarian assistance in a cohesive and effective manner. For this reason, all programs should address coordination at the program level and sector level in proposals as requested in the *USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING*. When a program objective is primarily coordination and/or information management the guidance below will assist with the preparation of a proposal.

USAID/OFDA supports coordination with the government of the country concerned, with and by United Nations agencies, and International NGO coordination bodies. Focus areas include coordination of: information, geospatial information, logistics, sector/cluster strategy, and security.

<h3><b>Sub-Sector: Coordination</b></h3>
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#### **Needs Assessment Summary**

- Describe current systems of coordination, example, what meetings are taking place, how are they organized, who organizes and who attends?
- Identify gaps and needs in the system of coordination, what are the outcomes of the current efforts, why are they insufficient?

#### **Justification for Intervention**

- Describe the system of coordination proposed
- Describe how the proposed activity will fill an identified need/gap in the humanitarian coordination system
- Describe expected outcomes of proposed intervention(s)
- Discuss positive and negative impacts of the proposed activity at the appropriate level (global, region, or country level).
- Describe the sustainability of the proposed activity, including the continued use of the system/service, transfer of activity to a government or other organization.
- Describe how the needs and/or gaps described above hamper the delivery of effective humanitarian assistance.

**Activities**

- Coordination of humanitarian actors in a specific country or region.
- Coordination of multiple NGOs or agencies to address a specific topic of importance.

**Beneficiary Issues**

- Who are the direct and indirect beneficiaries of the proposed activity? How will each benefit?
- How will the proposed activity benefit the affected population?

**Technical Design**

- The proposed activity will not duplicate other efforts, as much is possible, including host government and other local and international organizations.
- Services will be available as broadly as possible across the humanitarian community.

**Indicators**

Number of organizations coordinating

**Information Resources**

- Stephenson, Max. Making humanitarian relief networks more effective: operational coordination, trust, and sense making. 2005. Disasters 29 (4):337-350.
- <http://www.odi.org.uk/hpg/papers/ochacoordination.pdf>

<p><b>Sub-Sector: Information Management</b></p>
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**Needs Assessment Summary**

- Describe current systems, tools, and related services used by your organization, or the organization(s) you would support, and their purpose.
- Identify information gaps and needs.

**Justification for Intervention**

- Describe how the proposed activity will fill an identified need/gap in the humanitarian coordination system.
- Describe how the proposed activity will track humanitarian needs and/or activities by location to meet those needs.
- Describe how the proposed activity will support planning, program tracking, and reporting.
- Describe how the proposed activity will support data collection, processing, and/or analysis.
- Describe how the proposed activity will support data sharing across sector/cluster or humanitarian community.
- Describe how the resulting data will be shared with other organizations for coordination purposes.
- Discuss positive and negative impacts of the proposed activity at the appropriate level (global, region, or country level).
- Describe the sustainability of the proposed activity, including the continued use of the system/service, transfer of activity to a government or other organization.

## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

- Describe how the proposed activity would address any or all of the needs and/or gaps described above.

### **Activities**

- Website/system to assist response planning and sharing of information across organization.
- Information management services that enable coordination within a sector/cluster and/or across all sectors/clusters.

### **Beneficiary Issues**

- Who are the direct and indirect beneficiaries of the proposed activity? How will each benefit?
- How will the proposed activity benefit the affected population?
- How will beneficiaries have access to the services and products you will provide?

### **Technical Design**

- The proposed activity will not duplicate other efforts, as much is possible, including host government and other local and international organizations.
- Training and capacity-building elements will be part of the proposed activity.
- Information will be shared as much as possible with humanitarian community.

### **Indicators**

- Number of organizations utilizing services
- Number of products accessed by clients

### **Information Resources**

- Kaiser et al. The Application of Geographic Information Systems and Global Positioning Systems in Humanitarian Emergencies: Lesson Learned, Programme Implications, and Future Research. 2003. Disasters 27(2):127-140.
- [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/pdf/Evaluation\\_HIC2004.pdf#search=%22HIC%20evaluation%20usaid%22](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/Evaluation_HIC2004.pdf#search=%22HIC%20evaluation%20usaid%22)



## ***E. Sector: Logistics/Relief Commodities***

### **Available sub-sectors**

Non-Food Items (NFIs)

### **Background**

Requests to USAID/OFDA for relief commodities (NFIs) and their transport, as well as modes of transport to support implementing partner, must be supported by a detailed needs assessment.

With regards to transport requests, USAID/OFDA requires that full description be given on vehicle needs and uses. If the NGO has existing operations and is requesting additional vehicles to support their operations, USAID/OFDA requests an explanation of why new and/or additional vehicles are needed.

<b>Sub-Sector: Non-Food Items (NFIs)</b>
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### **Needs Assessment Summary**

- The nature of the disaster, whether natural, human-caused, or complex.
- The state of the current infrastructure, whether destroyed or severely compromised, effectual or ineffectual.
- The environment itself, whether buildings are destroyed or severely damaged, whether materials and commodities are in abundance, manufactured or in a raw natural state or as recyclable rubble .
- Whether the commodities are usually imported or if country is self-sustaining.
- Is there a labor force that is active, idle, limited, skilled, or unskilled?
- It is understood that certain commodities have multiple uses and it is important to know the need being served by a particular commodity. Provide an overview of the need that commodities will fill and the number of beneficiaries that are without these commodities.
- If commodities are being provided thru external sources, outside the country, are such imports the norm? Will this compete with the local manufacturers? Has consideration been given to the effect of imports on employment of labor?
- If commodities are being resourced locally, can existing capacity within the country support the volume of commodities needed without depleting the supply needed for normal use? Has consideration been given to any effect on supply and demand and increased prices beyond the capability of the rest of the population?
- Are the commodities being acquired foreign to the culture or norms of the country or are they commonly in use? Can commodities be replenished internally or through normal import channels after the disaster response efforts? Can commodities be affordably replaced?

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- Have alternatives been considered which would meet needs more affordably, have a lesser impact on the affected area, better utilize local labor, or move more money into the local economy and be sustainable post-response?
- Has the NGO looked to the local market for availability of the commodity that they wish to purchase?
- Will the requested amount meet determined needs? If introducing an imported item into IDP or refugee setting with only a partial distribution what will be the social ramifications?
- Can a similar item be made that may cost a little more up front, but overall will be cheaper once the cost of transport is factored in?
- If clothing: Describe in detail the type of clothing and to whom it will be distributed.
- If the commodity is technical and will require servicing, what is the availability of parts to support its operation?

### **Justification for Intervention**

What are the current constraints to obtaining these resources locally? Describe the rationale for obtaining these NFIs internationally. How will this affect local markets.

### **Examples of Activities**

Provision/distribution of NFIs.

### **Beneficiary Issues**

- How will these NFIs be distributed to the beneficiaries? Provide background on how beneficiaries are being chosen.
- How will the NFIs be used by the beneficiaries?
- What standards are being used to measure quantities? Such as sphere standards.
- What type of coordination is being done to ensure no overlap of distributions with other NGOs or partners?

### **Technical Design**

- The provision of commodities will not disrupt the local market/economy
- There are sufficient commodities to buy, if bought locally.
- Beneficiaries are able to transport commodities to the dwellings use them.
- Transport of commodities to distribution sites is available
- Targeted NFIs are acceptable to the local population.
- Government regulations allow the import of commodities.

### **Indicators**

- Number of beneficiaries receiving NFIs
- Number/amount in kg of commodities distributed
- Number of NFIs per beneficiary by NFI type

**Information Resources:** *Field Operations Guide for Disaster Assessment and Response*, USAID November 2005.

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#faq](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#faq)

## ***F. Sector: Nutrition***

### **Available sub-sectors**

Community-based Therapeutic  
Care

Supplementary Feeding Programs

Nutrition Education

Therapeutic Feeding Programs

### **Background**

USAID/OFDA supports emergency nutrition programs that focus on the prevention and treatment of moderate and severe acute malnutrition (SAM), using evidence-based approaches that will decrease morbidity and mortality from acute malnutrition and from health conditions exacerbated by acute malnutrition. Community-based approaches, when implemented correctly have been shown to have a higher coverage rate and better outcomes than the traditional center-based approaches. USAID/OFDA supports nutrition interventions that are integrated into health systems, and OFDA's nutrition interventions usually focus on children under-five years of age and pregnant and lactating women.

For proposals with nutrition components, USAID/OFDA requires that representative baseline data on wasting and crude mortality rates by gender and age be provided. USAID/OFDA will use these data to better target its relief interventions in crisis-stricken areas.

F75, F100 and ready-to-use therapeutic foods (RUTFs), such as Plumpy'nut, are not considered pharmaceuticals and do not require a waiver for procurement with USAID/OFDA funding. However, medicines needed to treat malnourished children within the proposed program that are purchased with USAID/OFDA funding must follow the rules and regulations outlined under restricted goods.

### **PLEASE PROVIDE THE FOLLOWING INFORMATION FOR ALL NUTRITION SUB-SECTORS:**

#### **Needs Assessment**

The nature of the disaster or the crisis will determine the appropriateness of a specific nutrition intervention. It is critical for the implementing partner to understand the crisis and the causes of the acute malnutrition and to provide very clear data to support the need for a nutrition intervention. Even if the implementing partner is not asking USAID/OFDA for funding for a comprehensive response program, a multi-sectoral approach that addresses the root causes of the acute malnutrition needs to be discussed. The implementing partner must provide information on who is addressing other critical issues that impact nutritional outcomes.

If the proposal is a cost extension, it must include a thorough description of achievements to date, show progress through tracking of indicators from baseline to the end of the concluding grant, and a clear rationale for continuing the program.

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Needs assessments should include:

### Nutrition Information

- Data on **acute** malnutrition as a result of the current disaster or crisis, as well as any additional information, such as health, WASH, and food security information, which will help USAID/OFDA understand the causes of malnutrition.
- The rate of Global Acute Malnutrition (GAM) and Severe Acute Malnutrition (SAM). Information on nutrition surveys conducted in the last three to six months. This is critical to understanding what GAM and SAM rates actually mean. Were the surveys conducted using the SMART methodology, 30x30 cluster, LQAS, or other methodology? What measure was used (weight-for-height or MUAC)?
- For nutrition assessments conducted in the past three to six months, what was the sample size and how was it selected? What were the results for the surveyed children (i.e. in that sample size, how many children were moderately or severely malnourished?)
- Were the surveys and assessments conducted during the hungry season, just before the hungry season, or after the harvest?
- Ongoing nutrition interventions: What kinds of nutrition interventions are being implemented (Supplementary feeding program, Community Therapeutic Care, severely malnourished children cared for in Nutrition Rehabilitation Unit, etc.) and who are the implementing partners? Provide the following data from these interventions: How many children have been treated so far? Adults? Have the numbers increased, decreased, or remained the same? Is there an explanation for any changes in admissions? What are the death rates? What are the default rates? What is the average weight gain? How long do children stay on the program before reaching discharge weight? What is the coverage rate of the program? Is the SFP linked to a health facility where sick children are sent? If not, why not?
- Nutrition Products: What kinds of therapeutic foods are available locally either from the MOH or UNICEF or local producers (F75, F100, Plumpy'nut, BP100, BP5, regular milk, CSB, etc.?) Are there import laws and/or taxes that would hinder the importation of these products?
- Is there a nutrition early warning system already set-up? If yes, describe it. Did it work well in providing early warning for the current crisis?

### Health Information:

- Morbidity: Have there been recent outbreaks of diseases? If yes, which diseases? What are the measles and vitamin A coverage rates?
- Mortality: Have there been deaths in the community, especially in children-under five, attributed to acute malnutrition? If yes, who provided this information and how many deaths are reported? Are deaths attributed to a disease outbreak and how many?
- Healthcare System: Is there a functioning health care system in the area of intervention? Can the current healthcare system deal with the number of malnourished children in the community? Are there health staff trained in the treatment of SAM?
- Breastfeeding: In general, how long do mothers exclusively breastfeed (no water, other fluids, or food)?
- Weaning Practices: At what age are children weaned from breastfeeding? At what age do mothers introduce solid foods? What kind of foods do they give, what quantities, and how frequently during the day?

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### Food Security Information:

- What are people eating? Has it changed recently? If so, in what way (quality, variety, quantity, frequency of meals, etc.?)
- What percentage of consumption is provided by food aid and what percentage is from farming/purchasing/gifts, etc? Are people eating wild foods? What kinds? How do they get it? Who in the household eats it?
- When was the last harvest? How did it compare with non-crisis periods of production? Did it meet household food needs, provide sufficient stores to sustain them until the next harvest, and allow them to pay their debts?
- Do people have any sources of income? If yes, what are they? What do they use the cash for? What percent is used on food purchases? Is food available on the market? What kinds of food? Have prices increased, decreased, or remained the same in the last few months?
- Are people receiving food distributions, and if so, what types of food, in what quantities, and how often?
- For supplementary feeding programs (SFP), what is the ration (CSB, oil, sugar, etc.) provided, and what quantity is given per child? Do parents of children on SFP receive general rations? If yes, what and how much? If no, why not?

### Justification for Intervention

- What is the organization's experience in addressing nutritional problems in the target area?
- How will the proposal fill in the gaps that you have identified?
- Which other donors/organizations will be implementing complementary activities in the target area and what are these activities?
- What is the full extent of the resources needed to address the acute malnutrition crisis (human, financial, commodities, etc)?
- In the case of an extension, how will the additional time and/or funding enable the implementing partners to achieve the proposed results?

### Examples of Activities

Plan a nutrition program that will save lives and can be sustained by the local community and government. Describe the activities to be carried out in the proposal as they relate to the following areas, as appropriate:

- Infant-feeding interventions
- Breastfeeding promotion initiatives
- Building local capacity to prevent and treat acute malnutrition
- Building the capacity of the MoH to conduct nutrition assessments, design, and implement nutrition programs
- Support to the government (if in place) including a memorandum of understanding
- Coordination with Nutrition Cluster lead and/or humanitarian coordination body
- Nutrition assessments and surveys
- Nutrition surveillance programs (monitoring of acute malnutrition)
- Provision of nutrition services (CTC, SFP, nutrition education)
- Nutrition education for the prevention of acute malnutrition including:
  - Exclusive breastfeeding for the first six months of life
  - Proper infant and young child feeding
  - Health care seeking behavior for early treatment of diseases

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- Water, sanitation and hygiene education
  - Protection of infant and young child feeding, including measure of behavior change
- Adaptation and/or creation of treatment and prevention protocols, including IEC materials coordinated with the national policy
- Training of health/nutrition providers and community health/nutrition educators and promoters
- Transitioning the relief operation into a sustainable nutrition program run by the MoH or other organization
- Regular supervision and follow-up of health/nutrition providers

### **Beneficiary Issues**

- Describe the involvement of the community in the planning, design, and implementation of this program? In particular, what is the role of community leaders, women groups, parents, etc?
- Is the community represented by a balance of individuals, taking into consideration gender, age, ethnicity, religion, and domiciliary (refugee, IDP, returnee) status?
- Describe how the program will involve both men and women in the prevention and treatment of acute malnutrition in their community.
- Are nutrition services accessible to those most in need of them?

### **Technical Design**

Depending on the type of nutrition intervention, the following assumptions may apply:

- The MoH buys in to the CTC approach.
- The MoH (or other donors/organizations) is willing and able to take over the proposed nutrition programs by the end of the crisis.
- The MoH and health facility staff are willing/able to integrate the prevention and treatment of acute malnutrition into the health system.
- The MoH is willing/able to re-assign health staff, if needed, to implement nutrition programs.
- The MoH is able and willing to provide therapeutic foods.
- The MoH and host-country government will allow the importation of RUTFs in a timely fashion.
- General Food Rations are provided to the families of the children in SFP/TFC/CTC programs.

### **Information on Restricted Goods**

Please provide a list of all essential medications that you are requesting USAID/OFDA to fund for the nutrition program. Please follow the USAID/OFDA Checklist for Reviewing/Approving Purchases of Essential Medications. Note that these guidelines do not apply to therapeutic foods, also referred to as "nutraceuticals".

### **Information Resources**

- *Community-based Therapeutic Care: A Field Manual*. First Edition, 2006.  
<http://www.validinternational.org/>
- *The Sphere Project. Humanitarian Charter and Minimum Standards in Disaster Response*. Web: <http://www.sphereproject.org>
- *Field Operations Guide for Disaster Assessment and Response*, USAID November 2005. [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#fog](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog)

- For infant and young child feeding in emergencies website:  
<http://www.enonline.net/ife/index.html>

**Sub-Sector:  
Community-based Therapeutic Care (CTC)**

USAID/OFDA supports interventions that will decrease acute malnutrition rates in children under-five and pregnant and lactating women. Follow the guidance above for all nutrition interventions on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions.

**Note: Applicants proposing CTC activities are required to report on all of the Indicators listed below.**

**Indicators**

- General
  - GAM and SAM rates decreased to pre-crisis level. (Provide current crisis level and pre-crisis data.)
- CTC program as a whole:
  - Coverage rate: in rural areas >70%; in urban areas >70%; in IDP camps > 90%
  - Number of beneficiaries treated in the community-based therapeutic care program, disaggregated by age, under- fives, and adults and disaggregated by patients treated in the stabilization centers and the outpatient therapeutic programs
- Particular to Outpatient Therapeutic Programs (OTP)
  - Default rate: <15%
  - Death rate: <10%
  - Average length of stay in OTP: <60 days
  - Weight gain: >4g/kg/day
- Particular to Stabilization Centers (SC)
  - Average length of stay in SC 4-7 days
  - Referrals to hospital are <10% of exits

**Information Resources**

See listings in above guidance for all sub-sectors.

**Sub-Sector: Nutrition Education**

Follow the guidance above for all nutrition interventions on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions.

**Indicators**

- Number of beneficiaries receiving nutrition education
- Percentage change in practice pertaining to nutrition education topics, such as breastfeeding, complimentary feeding, early treatment of malnutrition, etc.

- Number of health care providers trained in the treatment of moderate and SAM.

#### **Information Resources**

- Freeman, Paul K. *Infrastructure, Natural Disasters, and Poverty*. n.d. International Institute for Applied Systems Analysis.  
<http://www.iiasa.ac.at/Research/RMS/june99/papers/freemansolo.pdf>

<p style="text-align: center;"><b>Sub-Sector:</b> <b>Supplementary Feeding Programs (SFP)</b></p>
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A SFP can be a stand alone program or part of a CTC program. In either case, an SFP should establish a referral system to an OTP, SC, or TFP, as well as link the families of children in the SFP to a general food distribution program. It is critical if the malnutrition is due to food insecurity, that the family of the child in SFP receive a food ration. This is in order to ensure the moderately malnourished child will actually receive supplementary food.

Follow the guidance above for all nutrition interventions on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions.

**Note: Applicants proposing Supplementary Feeding Programs are required to report on all of the Indicators listed below.**

#### **Indicators**

- Moderate Acute Malnutrition (MAM) rates decreased to pre-crisis level. (Provide current crisis level and pre-crisis data, focusing on moderate acute malnutrition rates.)
- Stand Alone SFP: Coverage rate: in rural areas >50%; in urban areas >70%; in IDP camps >90% (Sphere Guidelines)
- If the SFP is part of a CTC program then the coverage rate should be as follows: in rural areas >70%; in urban areas >70%; in IDP camps >90%
- Default rate: <15%
- Cure rate: >75%
- Death rate: <3%
- Number of beneficiaries treated in the SFP (disaggregated by under-fives and adults)

#### **Information Resources**

See listings in above guidance for all sub-sectors.



<b>Sub-Sector: Therapeutic Feeding Programs (TFP)</b>
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Follow the guidance above for all nutrition interventions on Needs Assessments, Justification for Intervention, Activity Description, Beneficiary Issues, and Critical Assumptions.

**Note: Applicants proposing Therapeutic Feeding Programs are required to report on all of the Indicators listed below.**

**Indicators**

- SAM rates decreased to pre-crisis level (provide current crisis level and pre-crisis data)
- Number of beneficiaries treated in the TFP (disaggregated by under- fives and adults)
- Coverage rate: in rural areas >50%; in urban areas >70%; in IDP camps > 90%
- Default rate: <15%
- Death rate: <10%
- Cure rate: >75%

**Information Resources**

See listings in above guidance for all sub-sectors.

## **G. Sector: Protection**

### **Available sub-sectors**

Child-friendly Spaces and/or Youth Centers

Gender-based Violence and/or Women's Centers

Coordination, Personnel, and/or Advocacy

Psychosocial Services

Family Reunification and/or Child Tracing

### **Background**

Beginning in 2005, USAID modified its policies and programming guidelines to better address protection of vulnerable populations. Included in this evolution was the development of an agency-wide policy for IDPs, the first to be adopted by any donor country. USAID/OFDA is strongly encouraging implementing partners to incorporate protection into the design, implementation, and evaluation of their assistance programs wherever possible and appropriate, in order to assist IDPs and other vulnerable populations to reduce or manage risks from violence, abuse, harassment, and exploitation— to mainstream protection within traditional humanitarian sectors: see Cross-Cutting Themes below.) In addition to mainstreaming protection, USAID/OFDA also now supports protection as a stand-alone sector.

Some disaster contexts are characterized by extremely high levels of attacks, reprisals, and other protection problems. In those instances, protection can be proposed as its own objective, as a sector, with associated sub-sectors. For proposals with stand-alone protection objectives, the protection outcome desired should be explicitly stated and detailed, and the proposal should describe and analyze why mainstreaming within the traditional sectors alone is not adequate, and a separate protection sector is necessary.

For all of the sub-sectors, identify exactly which groups of people need protection from what kind of threats, violations and effects of war and disaster. Provide a detailed account of the nature of violations, threats and abuses and their impact on people's lives. Equally important, identify issues of access to affected populations, power dynamics, and local efforts to address protection issues and how they can be supported effectively.

Progress benchmarks should be developed and reviewed regularly to assure that original assumptions about protection needs remain correct and that there are no unintended consequences of interventions. Qualitative data and anecdotal evidence of the impact of protection programming are strongly encouraged.

**Sub-Sector:  
Child-friendly Spaces and/or Youth Centers**

**Needs Assessment Summary**

- Describe how the disaster context has created a need for safe spaces and vocational centers for youth.
- Provide descriptions of the number of children and/or youth affected.

**Justification for Intervention**

This sub-sector should be chosen for contexts where the disaster has resulted in so many orphans and other affected children that the local community can not care for them adequately.

**Examples of Activities**

- Establish sites where children can congregate supervised, in safety, to play or learn
- Create centers where youth engage in vocational training
- Income generation: For circumstances where a significant number of the disaster affected are from very low income strata and whose lack of assets puts them at risk of potentially harmful behaviors (for example, girls/women obligated to exchange sex work for food or money for their families).

**Beneficiary Issues**

Care should be taken to target the most vulnerable children and youth.

**Technical Design**

The local population cannot adequately care for the number of affected children and youth.

**Indicators**

- Number of spaces and/or centers created
- Percent of targeted children using the spaces/centers
- Number of youth trained in a vocation

**Information Resources**

- Children in Disasters. Conway F. Saylor, ed. 1993. New York: Plenum Press.
- "Children in Adversity". Jo de Berry and Jo Boyden. Forced Migration Review 9. December 2000.
- The Impact of Armed Conflict on Children. International Conference Proceedings September 2000, Winnipeg, Canada. UNIFEM/UNICEF.

**Sub-Sector:  
Coordination, Personnel, and/or Advocacy**

**Needs Assessment Summary**

- Determine the local, regional, and national protection systems and protocols.

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- Identify protection gaps and describe the coverage of protection services.

### **Justification for Intervention**

- Describe how the disaster context has resulted in multiple and/or extensive protection issues.
- Describe how your organization will coordinate on protection issues with other implementing organizations.
- Describe the need for advocacy and efforts and provide details on how the information will be shared and used.

### **Examples of Activities**

- Establish information systems/centers
- Liaise with local and national authorities
- Monitor and evaluate protection programming
- Participate in working groups and track and report on protection issues
- Advise implementing partners on how to address protection issues
- Organize community-based dispute resolution systems and/or community-based protection systems, such as patrols or support to police
- Enhance access to justice
- Work with informal and formal justice structures to prevent, mitigate, and respond to protection problems.
- Establish systems to survey and monitor population movements and returns.
- Protection officers to track and report on protection issues, share protection information, understand national laws and identify protection priorities; participate in protection working groups where they exist; through their activities and ensure that information is disseminated widely. Even in the absence of designated protection officers, take steps to ensure that protection problems are shared horizontally and vertically, for example, within and among sector meetings as well as with U.N. officials as appropriate for potential advocacy.

### **Beneficiary Issues**

Ensure that beneficiaries have consented to their information being used for advocacy efforts and information sharing.

### **Technical Design**

- Beneficiaries will consent to sharing their information widely.
- Protection working groups are functioning.

### **Indicators**

- Number of protection officers provided
- Numbers of policies or procedures modified as a result of this program to include protection language

### **Information Sources**

- *InterAction Protection as a Priority*
- *Growing the Sheltering Tree*

**Sub-Sector:  
Family Reunification and/or Child Tracing**

**Needs Assessment Summary**

Describe how the disaster situation has created a context where a significant number of families have been separated.

**Justification for Intervention**

Explain why local organizations and interventions are not sufficient to assist separated families.

**Examples of Activities**

- Establish an identification and tracing system, with emphasis on information sharing and coordination
- Undertake initiatives to prevent trafficking and child abuse.

**Beneficiary Issues**

Ensure that orphanages are a last resort for children; they should be avoided when possible.

**Technical Design**

Local capacity is overwhelmed and cannot handle the caseload.

**Indicators**

- Number of children united with their families
- Number of systems established to coordinate reunification and tracing

**Information Resources**

- *Children in Disasters*. Conway F. Saylor, ed. 1993. New York: Plenum Press.
- "Children in Adversity". Jo de Berry and Jo Boyden. *Forced Migration Review* 9. December 2000.

**Sub-Sector: Gender-based Violence and/or  
Women's Centers**

**Needs Assessment Summary**

- Describe how the disaster context has created a crisis of violence against the vulnerable, with a focus on children and women.
- Describe why special sites for women should be established and why they are needed.

**Justification for Intervention**

Provide an analysis of the available local organizations and services and why they are inadequate to prevent or address the violence and require outside assistance.

**Examples of Activities**

- Establish systems within local health facilities to address the health and other effects of GBV
- Establish health referral program for complex cases
- Create links to justice and advocacy systems where appropriate
- Build and/or rehabilitate spaces where women can meet to socialize and acquire information about services
- Vocational skills, literacy and numeracy training, life skills, etc
- Conduct sensitization training for men and boys

**Beneficiary Issues**

- Ensure that women have consented to treatment, case referral and/or any of their information shared.
- Ensure that confidentiality is maintained throughout the program.
- Respect non-harmful local customs and traditions.
- Include men in GBV sensitization issues and programs.

**Technical Design**

Women will use GBV health programs and women's centers.

**Indicators**

- Number and type of GBV services made available to targeted population
- Number of complex GBV cases successfully referred to specialists
- Number of women trained/sensitized in GBV issues
- Number of men trained/sensitized in GBV issues

**Information Resources**

- Humanitarian Protection Booklet
- IASC. Growing the Sheltering Tree. 2000.
- Protection as a Priority
- OXFAM
- Beth Vann, *Emerging Issues in Programs Serving Displaced Populations*. September 2002.
- *Sexual and Gender Based Violence Against Refugees, Returnees, and Internally Displaced Persons: Guidelines for Prevention and Response*. UNHCR, May 2003. Available at <http://www.unhcr.org/cgi-bin/texis/vtx/protect/opendoc.pdf?tbl=PROTECTION&id=3f696bcc4>

**Sub-Sector: Psychosocial Services**

Please note that the implementation of psychosocial activities in humanitarian settings is an evolving field of study and practice. There remains a lack of evidence about which psychosocial interventions are the most effective for people affected by disasters or armed conflict. The following recommendations are based on experience, consensus among practitioners, and the principle of "do no harm." As the evidence base expands, these recommendations may be revised.

### **Needs Assessment Summary**

- Provide an overview of relevant factors (i.e., stressors and trauma-causing agents, nature and trends of the psychosocial problems, local perceptions of distress and illness, ways of coping, community resources, etc). Assessment reports should include urgency and scale of needs, local resources and capacities, and potential external resources.
- Address how the delivery of the proposed interventions will promote community solidarity and efficacy while considering local capacities and resilience, and local culture and traditions.
- Effective psychosocial assistance often occurs not through the provision of clinical therapy by outsiders but via support from others in the community. Identify how the capacity of communities and social networks can provide psychosocial support.

### **Justification for Intervention**

Distress, grief, physical and emotional arousal, and physical ailments are examples of common reactions to traumatic events and critical incidents. Given that meeting basic needs (food, water, security, shelter, hygiene, etc.) often restores psychosocial well-being and mitigates the negative consequences of distress, demonstrate that the coping resources of individuals, families and communities are overburdened and require the proposed external interventions.

### **Examples of Activities**

Psychosocial and public mental health interventions should be matched to the stages of emergency relief and rehabilitation. For example, the major psychosocial goals in the immediate aftermath of an incident include survival and establishing communication and connection with family and/or significant others. In the short-term response phase, the focus is on resuming daily activities performed before the event and reducing fears, extreme worries, paralyzing shock and denial. Interventions should be designed and selected to attain those differing objectives.

#### **In the Acute Phase of a Disaster or Complex Emergency**

- Integrate psychosocial approaches into the delivery of mainstream humanitarian assistance (e.g., shelter, food, WASH) in ways that foster recovery and well-being.
- Emergency tracing and reunification of separated children and youth; prevention of future family separation. Family connections, protection and support meet crucial developmental and psychosocial needs of survivors.
- Structured activities for children and youth that foster normalcy and stability.  
Examples of these activities include:
  - Safe spaces for children or youth, since learning activities play an important role in helping children resume a routine
  - Social activities, which offer the opportunity to establish connection with others
  - Creative expressive activities, such as art, theater, and music, which can provide an outlet to make meaning of distressing or traumatic events
  - Recreational activities, such as sports, which can provide needed physical activity, reduce stress, and afford the opportunity to increase confidence and self-efficacy.
- Psychological first aid activities (e.g., crisis intervention, peer support, emotional and practical support for the bereaved) can protect survivors from further harm, reduce physiological and emotional arousal and mobilize support for the most distressed.

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- Activities that provide opportunities to foster solidarity, re-build social/community connections and networks, and cultivate survivor-to-survivor support are often most effective.
- Establishment of a referral system to specialists and equipped facilities to address psychiatric disorders

### In the Post-Acute Phase

- Continue the relevant interventions begun in the acute phase.
- Organize outreach and education for community members on availability or choices of psychosocial support and/or mental health care. The public should be educated on the difference between mental illness/psychological disorder and normal psychological distress after an event of this nature. This should occur in a way to avoid suggestions of wide-scale presence of psychopathology and avoiding jargon that carry stigma.
- Train and supervise community health workers, teachers, and others with frequent contact with many members of the community in basic/para-professional psychosocial knowledge and skills.
- In the initial emergency response, we do not currently have good tools that can distinguish between psychosocial needs that can be immediately addressed and persisting problems that may require additional support or resources. Therefore, assessments that determine prevalence rates and more formal mental health interventions should be delayed until this phase.

### Activities to Be Avoided

- The establishment of centers or institutions for separated and/or unaccompanied children and youth. Instead, emergency tracing and reunification should be the first line of defense with community-based solutions developed for those that cannot be traced.
- Wholesale importation of Western therapeutic models or mental health professionals may not be culturally appropriate and is not a sustainable response to improving the psychosocial well-being of affected populations affected by disasters or armed conflict.

### Beneficiary Issues

- Programs should be sure to properly train and supervise their service providers. Those working with more distressed populations or delivering more complicated interventions require greater degrees of training and supervision. But all providers should be given appropriate levels of preparation and oversight.
- It is inappropriate to assume that separated children and youth are orphans or that confirmed orphans are without family care. Extended family members are the first line of child-care support, and adoption is a last resort, save institutionalization.
- *All activities should be socially and culturally grounded*, may include traditional helpers and spiritual/religious practices, and should be designed to reach large numbers of affected people, including vulnerable or “invisible” populations (e.g., children of marginalized ethnic/religious groups or lower castes, children with physical and mental disabilities.)

### Indicators

- Percentage of targeted participants returning to productive family and community roles and responsibilities
- Numbers of individuals experiencing acute mental distress provided psychological first aid at health service facilities or in the community



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- Number of individuals with psychiatric disorders referred to specialists and equipped facilities

### **Information Resources**

IASC. *Guidance on Mental Health and Psychosocial Support in Emergency Settings*. In press (projected November 2006 release)

## ***H. Sector: Risk Reduction (Natural and Technological Disasters)***

### **Available sub-sectors:**

Disaster Preparedness,  
Mitigation and Management

Geological Disasters

Hydrometeorological Disasters

Technological Disasters

### **Background**

The vulnerability of people living in risk-prone areas is perhaps the single most important cause of natural disaster casualties and economic impact. Population growth, increased settlement in marginal lands, technological advances, modern large infrastructures, environmental degradation, and unstable socio-economic conditions make populations extremely vulnerable to the impacts of natural disasters. Technological advances and modern large infrastructures increase economic impact of disasters while exposing population to additional hazards. Risk identification, reduction and management are vital in increasing resilience of vulnerable populations to potential disasters in support of sustainable development. The USAID/OFDA strategic plan includes adoption of mitigation measures in countries at greater risk of natural and human-made disasters to fulfill its mandate for saving lives, alleviating suffering and economic impacts.

USAID/OFDA assists in preparedness and mitigation activities worldwide via implementing variety of programs on natural hazard mitigation, preparedness for, prevention of and mitigation of technological disasters, and multi-hazard disaster preparedness and management. USAID/OFDA accomplishes this by working with governments at all levels, international and regional organizations, non-governmental organizations (NGOs), and local communities by fostering multi-sectoral linkages to improve understanding of disaster management to reduce vulnerability to potential disasters.

### **Sub-Sector: Hydrometeorological Disasters**

Hydrometeorological hazards, such as floods droughts, tsunamis, climate variability and hurricanes/cyclones account for the largest number of natural disasters in the world and affect more people than any other type natural of disasters. Derivatives of hydrometeorological disasters include disease outbreaks, food and water shortages, landslides, and forest fires. Extreme climate events often have severe socioeconomic impacts such as scarcity of food, water and energy, with adverse impacts on human health, and the environment. OFDA's goal is to reduce the vulnerability to climate/weather and water induced disasters in addition to human-caused catastrophes such as levee/dam breaks through implementation of mitigation and preparedness activities.

**Needs Assessment**

- Describe current systems, capabilities, tools, data, resources, and vulnerabilities of target population in the proposed location.
- Identify gaps and needs that proposed activities will address.
- Describe current programs and interventions implemented by local and national governments, communities, international and regional entities or NGOs
- Describe current national and regional capacities for early warning, forecasting or other relevant applications.
- See additional requirements for cross-cutting issues and other relevant sectors.

**Justification for Intervention**

- Explain how proposed activities relate to the overall OFDA's mandate of saving lives, relieving human suffering, and reducing the economic impact of natural and human-caused disasters.
- Describe how proposed activities will address the needs and gaps identified.
- Discuss how proposed activities will improve current systems, capacities, resources, information, data, and vulnerabilities.
- Discuss the involvement of local entities, communities, organizations, and/or governments during the development of the proposed activities.
- Explain how an integrated approach will be applied to proposed project, taking into account the up- and downstream consequences of potential measures, regional and sectoral needs and impacts, and social equity.
- Describe potential impacts of proposed actions on other relevant sectors such as agriculture, livestock, health, shelter, power generation and tourism (how proposed activities will link various sectors to optimize the benefit and minimize adverse impact.)
- Describe how the systems developed will be transferred to local, national, or regional authorities.
- Explain how proposed activities will link to existing programs, nationally, regionally and internationally. Discuss potential impacts of the proposed solution(s) on the current systems and capacities, both positive and adverse.
- Discuss potential environmental and physiographic impacts on the watershed(s) of proposed structural measures.
- Explain how data and information, real-time and historical, will be shared nationally, regionally and internationally.
- Describe how mitigation objectives will be fulfilled in short-, medium-, or long-term
- Discuss cost effectiveness in implementing proposed activities.
- See additional requirement for cross-cutting themes and other relevant sectors.

**Examples of Activities**

- Early warning systems
- Community-based flood, drought or other hydrometeorological disaster preparedness and mitigation activities
- Capacity building on hydrometeorological disaster mitigation
- Information/warning dissemination to population at remote locations

**Beneficiary Issues:**

USAID/OFDA's interventions have been tailored to reflect the decision-making dynamics of affected populations, and foster their self-sufficiency and productivity over the long

term. Ideally, interventions help beneficiaries to support themselves and enhance their capacity to maintain or improve their way of life. The objective is to blend interventions with the beneficiaries' own coping strategies to ensure that those most in need are being reached and participate in the developing strategies and decision making process

### **Technical Design**

There are no additional requirements.

### **Indicators**

Proposals for hydrometeorological interventions should include specific indicators of success for proposed interventions. For example, improved lead time, access to information/warnings, local/regional/international capacities, and dissemination of information to remote locations can be used as indicators in evaluating and monitoring impact where applicable. The methodology that will be used to measure and evaluate indicators (and thus the effectiveness and success of the proposal interventions) should be included in the proposal. Describe how an increase in knowledge, skills and capacities due to the proposed interventions will be evaluated. Some of the indicators for hydrometeorological intervention include, but are not limited to:

- Percent improvement in the lead time for potential hydrometeorological hazards (from 24 hrs to 1 hour, for example)
- Number and percentage of participants retaining information gained during training
- Number of policies/procedures improved as a result of the program
- Number of people trained in hydrometeorological -related activities
- Number of people who will benefit from proposed hydrometeorological activities

## **Sub-Sector: Geological Disasters**

Geologic hazards, including volcanoes, earthquakes, and mass earth movements such as landslides threaten millions of people worldwide, most of whom live in densely populated urban centers in developing countries. Geologic disasters can have a strong impact on many aspects of life, including destroying shelter, causing water and food shortages, adversely affecting health, and destroying livelihoods. With proper mitigation and preparedness, the effects of these disasters can be minimized by saving lives and reducing their economic effects.

### **Needs Assessment**

- Identify gaps and needs that proposed activities will address.
- Describe current programs and interventions implemented by local and national governments, communities, international and regional entities or NGOs related to the proposed project.
- See additional requirements for cross-cutting issues and other relevant sectors.

### **Justification for Intervention**

- Explain how proposed activities relate to OFDA's mandate of saving lives, relieving human suffering, and reducing the economic impact of natural and human-caused disasters.

## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

- Discuss the involvement of local entities, communities, organizations, and/or governments during the development of the proposed activities and how they will be involved in the proposed activity.
- Explain how proposed activities will link to existing programs, nationally, regionally and internationally.
- Explain how data and information, real-time and historical, will be shared nationally, regionally, and internationally.
- Describe how mitigation objectives will be fulfilled in short-, medium-, or long-term
- Discuss cost effectiveness in implementing proposed activities.
- Discuss how the proposed activities will be sustained beyond the proposal period.
- See additional requirement for cross-cutting issues and other relevant sectors.

### **Examples of Activities**

- Early warning systems
- Community -based geological disaster mitigation
- Technical training on geological disasters
- Information/warning dissemination to the population at risk

### **Beneficiary Issues**

USAID/OFDA's interventions have been tailored to reflect the decision-making dynamics of affected populations, and foster their self-sufficiency and productivity over the long term. Ideally, interventions help beneficiaries to support themselves and enhance their capacity to maintain or improve their way of life. The objective is to blend interventions with the beneficiaries' own coping strategies to ensure that those most in need are being reached and participate in the developing strategies and decision making process

### **Technical Design**

Populations have the capacity to participate in the program.

### **Indicators**

While acknowledging the role of research in geologic hazard mitigation, USAID/OFDA is not a source of funding for pure research. Geologic-hazard related projects should ensure that the critical needs are met of target vulnerable groups in emergency situations and work towards increased adoption of mitigation/preparedness measures in developing countries at greatest risk of natural disasters. The methodology that will be used to measure and evaluate indicators (and thus the effectiveness and success of the proposal interventions) should be included in the proposal. Some of the indicators that should be discussed for geologic-disaster interventions include, but are not limited to (where applicable)

- Number of people who will benefit from proposed geologic-disaster related activities
- Percent improvement in warning time for potential geologic events (from 24 hours to 1 hour, for example)
- Number of policies or procedures modified as a result of the program to increase the preparedness for geologic events
- Number of people trained to reduce the impact of geologic events

## **Sub-Sector: Technological Disasters**

Technological disasters caused by human-made catastrophes such as industrial, chemical, radiological accidents might lead to loss of lives and significant human injuries in addition to extensive damage to environment, natural resources and livelihoods. USAID/OFDA encourages appropriate disaster response, prevention and preparedness activities to reduce loss of life and injuries to population at risk due to technological disasters while lessening environmental impact.

### **Needs Assessment:** (where applicable)

- Describe the area affected.
- Describe the number of people affected.
- Identify immediate needs and gaps.
- Describe current environmental conditions.
- Describe source of the disaster.
- Discuss current local and national capacity in responding the disaster.
- Discuss current response by local and national governments, NGOs, or other international entities.

### **Justification of Interventions:** (where applicable)

- Explain how proposed activities relate to the overall OFDA's mandate of savings lives, relieving human suffering, and reducing economic impact.
- Describe how proposed activities will address immediate needs and gap.
- Discuss immediate actions to inform and raise awareness of the population on the current and potential situation in the affected area.
- Discuss potential health impacts on humans and environmental impacts in short-, medium- and long-term.
- Discuss cost effectiveness in implementing proposed activities.
- Discuss the best solution for dealing with the technological disaster and other comparable alternatives.

### **Example Activities:**

- Response to technological disasters when lives are threaten
- Activities to raise public awareness on technological hazards and impacts
- Community based preparedness in responding to technological disasters

### **Beneficiary Issues**

The OFDA's interventions have been tailored to reflect the decision-making dynamics of affected populations, and foster their self-sufficiency and productivity over the long term. Ideally, interventions help beneficiaries to support themselves and enhance their capacity to maintain or improve their way of life. The objective is to blend interventions with the beneficiaries' own coping strategies to ensure that those most in need are being reached and participate in the developing strategies and decision making process.

- Explain how physical safety and protection of response personnel will be addressed.
- Explain how immediate safety and protection of population affected will be ensured.

### **Technical Design**

The population has the capacity and willingness to participate.

### **Indicators**

The methodology that will be used to measure and evaluate indicators should be included in the proposal. Some of the indicators for interventions include, but are not limited to:

- Number of people who will benefit from proposed activities
- Number of people who have retained knowledge obtained during training three months after the training
- Number of policies/procedures that have been modified to reduce risks to technological disasters
- Number of people trained on responding or prevention of technological disasters

<p><b>Sub-Sector: Disaster Preparedness, Mitigation and Management</b></p>
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USAID/OFDA promotes the adoption of preparedness and mitigation measures to lessen loss of human lives and increase resiliency of vulnerable populations to disasters to achieve goals of sustainable development. This may be accomplished by: building community, local and regional response capacities to ensure that timely and effective disaster response reaches the most vulnerable population; risk identification, analysis, prioritization, and reduction activities; post disaster recovery projects; training on multi-sector risk reduction and preparedness; early warning systems at community, national and regional level; increasing public awareness for potential hazards; developing and implementing national hazard risk reduction policies and plans; promoting/facilitating the development of risk management legislation and regulations; developing public-private partnership to further risk reduction management at national and local levels; and encouraging/promoting the creation of multi-sectoral risk reduction planning/coordinating mechanisms.

### **Needs Assessment**

- Describe current vulnerabilities, capabilities, resources and systems of target population in the proposed location.
- Identify gaps and needs that proposed activities will address.
- Describe current programs/interventions implemented by at all levels of governments, communities, international entities or NGOs.
- See additional requirements for cross-cutting issues or relevant sectors.

### **Justification for Intervention**

- Explain how proposed activities relate to OFDA's mandate of saving lives, relieving human suffering, and reducing the economic impact of natural and human-caused disasters.
- Describe how proposed activities will address the needs/gaps identified.
- Discuss how proposed activities will improve current capacities, resources and information/data.
- Describe how proposed activities will be implemented in order to achieve project goal and objectives.
- Describe appropriateness of activities with respect to achieving USAID/OFDA's objectives for better preparing communities to respond to potential hazard in target region.

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Discuss the involvement of local entities, communities, and organizations during the development of the proposed activities.
- Explain how proposed interventions within existing cultural norms and realities, will be designed and implemented to engage maximum input, participation, and "buy-in" from target communities.
- Demonstrate direct impact on the vulnerability of at-risk communities.
- Discuss how proposed programs will increase awareness and understanding on disaster preparedness, mitigation, and management at the national, local and community levels.
- Describe coordination amongst partner agencies while strengthening national and regional linkages among relevant risk management entities.
- Discuss how proposal will incorporate an all-hazard approach to risk reduction
- Describe multi-sectoral impacts of proposed activities.
- Demonstrate integration of relevant governmental and emergency response agencies into the program.
- Describe improvement of the organizational and management capacity of the local and national partners from participating countries through the training program, and through advocacy of increased policy and budgetary support for the national entities.
- Describe how tools, plans, policies, legislations and/or regulations for hazard reduction will be developed and implemented at all levels of stakeholders.
- Discuss how to disseminate and institutionalize successful interventions and lessons learned within government policies and training programs at all levels.
- Describe potential replication of proposed interventions beyond the project.
- Discuss how the proposed program will provide equal benefits to all in the area/region. Are the issues that may cause conflict due to proposed project addressed and action to prevent conflict recommended?
- Discuss cost effectiveness in implementing proposed activities.

### **Examples of Activities**

- Building capacity of community, local, and regional entities on disaster response
- Risk identification, analysis, prioritization, and reduction activities
- Post-disaster recovery projects
- Training on multi-sector risk reduction and preparedness
- Community-based early warning systems
- Developing and implementing national hazard risk reduction policies and plans

### **Technical Design**

The targeted population has the capacity and willingness to participate.

### **Beneficiary Issues:**

USAID/OFDA's interventions have been tailored to reflect the decision-making dynamics of affected populations, and foster their self-sufficiency and productivity over the long term. Ideally, interventions help beneficiaries to support themselves and enhance their capacity to maintain or improve their way of life. The objective is to blend interventions with the beneficiaries' own coping strategies to ensure that those most in need are being reached and participate in the developing strategies and decision making process.

### **Indicators**

Proposals should include specific indicators of success for proposed interventions. For example development of policies, legislations, regulations or plans, improved access to



## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

information/warnings and dissemination of information to remote locations, or enhanced capacity on disaster response at community, local, national or regional levels can be used as indicators in evaluating and monitoring impact where applicable. The methodology that will be used to measure and evaluate indicators (and thus the effectiveness and success of the proposal interventions) should be included in the proposal. Describe how an increase in knowledge, skills and capacities due to the proposed interventions will be evaluated. Some of the indicators include, but are not limited to (where applicable):

- Percent improvement in time (usually in hours or days) in responding to disaster
- Percent reduction in disaster response time
- Number of people retaining knowledge gained three months after training
- Change in the policies, legislation, regulations or behavior of communities, local and regional entities on disaster risk reduction and management
- Number of national hazard risk reduction plans or policies developed
- Number of people trained in disaster risk reduction and management
- Number of people who will benefit from reduced risk

## ***I. Sector: Shelter and Settlements***

### **Available sub-sectors**

Camp Design and  
Management

Emergency Shelter

Shelter Hazard Mitigation  
and Environmental  
Management

Transitional Shelter and  
Settlements

### **Background**

In many countries, people consider shelter their most important economic asset. It is also critical to both sustaining life and supporting productive activities. Shelter is, therefore, more than just a house; it can also be an office, shop, factory, warehouse, granary, a barn, and a key feature of all settlements. Shelter and related support services are key features of settlements simply because of the economic, social, and cultural importance of shelter and the fact that shelter and services typically occupy a majority of land in larger settlements. In their simplest form, settlements are concentrations of people in physical space. As such, settlements are the "Where?" or locale, of OFDA's mandate. Settlements range in size from the smallest hamlets to the largest "mega-cities" of 10 million or more people, and include a wide range of settlement types, from temporary transit centers to long-established settlements. Therefore, it is nearly impossible to separate shelter from the larger environmental context of settlements, and the natural hazards and resource issues embedded in that context which often generate disasters and conflicts, making shelter sector activities an excellent means of addressing these important issues.

Where possible and appropriate, shelter interventions should support and sustain those arrangements selected by affected populations prior to the arrival of humanitarian actors. The chief means of doing so in many instances is reliance on socially- and culturally defined relationships reflected in support provided to affected populations by host families.

Camps will be established only after exhaustion of all other shelter options, based on detailed market, damage, and needs assessments. Camps will be sited far away from areas of conflict and national borders, and camp layout/design will promote reduction of threats to safety (consider tribal/ethnic/religious tensions in camp design and layout), promote a sense of community, cognizant of recreational spaces and aesthetics, and consider and mitigate economic and environmental impacts on surrounding settlements.

In designing sectoral interventions, outputs should be conveyed to identified beneficiaries to ensure that they have documented rights, and land tenure issues should be addressed to avoid eviction and homelessness. Shelter assistance will be provided to households unable to self-build, rather than assume assistance via a "self-help" model. Sectoral interventions will, where appropriate, promote creation of separate rooms for women and children, inclusion of 'child friendly' spaces and programming in camps and settlements, and use of building materials and basic site planning (e.g., distance between dwellings, location of public facilities in central locations) that provide privacy and dignity (especially in cultures where men's and women's activities are markedly separate). Training and capacity building efforts will include specialized sessions for women and children on non-

structural mitigation, as well as evacuation of buildings and settlements during earthquakes, tsunamis, other natural events, and crises.

## **GUIDANCE FOR ALL SHELTER AND SETTLEMENTS SUB-SECTORS**

### **Needs Assessment**

For proposals with shelter and settlements (“S&S”) components, USAID/OFDA requires that S&S sector assessments include analysis of key housing market characteristics in disaster/conflict-affected areas. A better understanding of market characteristics will provide insights into the number and composition of people living in affected areas, how those people live, who builds their housing, how it is built, how long it takes to build, what is produced, what materials are needed to produce what is built, and what options are available to address both disaster response and mitigation concerns.

Therefore, proposals should:

- Describe the area affected, for example, a portion of a city, several villages, a region, physical size, etc.
- Define important terms, for example, houses, dwelling units, households, families, homeless, etc., clearly, and use consistently in any documents generated.
- Discuss how many people lived in the affected area prior to the disaster or conflict.
- Discuss how many people comprised a typical household. Identify how many people lived per occupied dwelling unit on average prior to the disaster or conflict.
- Discuss the percentage of households who owned their homes prior to the disaster or conflict.
- Describe any groups of individuals who did not form typical households, such as unaccompanied children, or particular minority groups with household sizes that are not considered typical.
- Describe what household and livelihood support activities typically took place in and around the dwelling units of the affected population.
- Describe the shelter delivery system in the affected area prior to the disaster or conflict, to include who built the housing, how the housing was built, how long it took to build a typical housing unit, what materials are used, where the materials came from, and what was the availability and cost of local materials.
- Describe the cause of housing damage, and the likelihood that the cause of damage will be repeated in the foreseeable future.
- Describe how many households and people in the affected area sustained damage to their homes.
- Identify the percentages of housing supply and population directly affected by disasters or conflict in affected areas.
- Describe how many households are without any or with inadequate shelter and where are they. Discuss what this number represents in terms of a percentage of total households in the affected area.
- Discuss whether the need for shelter is temporary (a few weeks), or whether a displaced population require shelter for an indeterminate time.
- Describe, if possible, a damage profile, which catalogues the varying degrees of housing damage from undamaged to destroyed, using UNOCHA or other recognized damage classification methods.
- Approximate the number of private dwellings (single-family, attached, low-rise and high-rise multiple family) and public buildings such as schools, churches, and hospitals, damaged or destroyed by city, village, or region.

## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

- Determine the number of damaged dwellings that are habitable without immediate repair, that are habitable only after repair, and that are not habitable and must be destroyed.
- Describe the extent of damage to non-housing structures, such as shops, offices, and public buildings, that might serve as potential resources for subsequent shelter provision, giving careful consideration to access to sanitation, water, and other basic needs.

### **Justification for Intervention**

A key objective of any shelter sector intervention should be the timely provision of shelter that is safe, secure, private, and habitable. To achieve this objective often requires the concerted effort and interaction of donors, NGOs, local and national governments, and affected populations. Shelter needs should not be derived or assumed based on damage assessments alone, but also through interaction with affected populations.

Therefore, proposals should reflect consideration of the following tasks:

- Discuss the proponent's experience in addressing shelter and settlements issues in the proposed area of operation, and elsewhere, that are relevant to identified needs.
- Discuss how the proposal will address needs that have been identified during assessment efforts.
- Identify other donors and other organizations that will be implementing complementary activities in the proposed area of operation, and describe relevant sectoral activities.
- Provide a detailed listing of the resources needed to address identified needs, and
- In the case of a programmatic extension, identify and discuss the amount of additional time/funding needed to achieve adopted objectives.

### **Examples of Activities**

- Provision of shelter materials
- Construction of shelters or dry rooms
- Training in building techniques and standards
- Training in seismic-resistant construction
- Rubble removal
- Environmental health initiatives

### **Beneficiary Issues**

- Describe the extent that assessment reflect the needs of the most vulnerable, i.e., those located on hazard-prone lands, and/or the poor, squatters, renters, young, elderly, handicapped, and displaced. Also describe how men and women in these groups have participated in the design of survey work, damage assessments, and the identification of proposed responses.
- Describe how proposed interventions will be provided to identified beneficiaries. If self-help is emphasized, describe in detail how the most vulnerable, i.e., those least able to help themselves, will be assisted.
- Describe any opportunities and constraints posed by current patterns of land ownership, land usage, drainage, and sanitation, and the availability of vacant land and underutilized land, in formulating a S&S intervention.
- Describe how proposed interventions will incorporate livelihood activities, and measure impacts on livelihoods.

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

- Describe how proposed interventions will incorporate hazard mitigation, where appropriate, and measure the effectiveness of mitigation.
- Describe how proposed interventions will incorporate training activities, where appropriate, and measure the effectiveness of training activities.

### **Technical Design**

Depending on the type of S&S intervention, the following assumptions may apply:

- Host country authorities (please specify) have been involved in discussions about proposed activities, and have expressed support of those activities (please specify nature of support).
- Identified host country authorities (or other donors or other organizations) are willing to accept/recognize/tolerate proposed activities once USAID/OFDA funding ends.
- Proposed activities will be designed in consultation with other humanitarian community sector/cluster organizations, and be generally consistent with adopted humanitarian community strategies and plans.
- Proposed activities will recognize any constraints posed by the onset of seasonal change, such as the arrival of winter or monsoon season, thereby necessitating a more expeditious response.
- Consultation with other humanitarian community sector/cluster organizations, and be generally consistent with adopted humanitarian community strategies and plans.
- Information generated as part of proposed activities will be linked to others, in terms of sharing, coordination, analysis, and linkage to a humanitarian information center, if present.
- Proposed activities can be readily integrated into existing housing markets and settlement system.
- Proposed activities will include hazard mitigation measures if hazards exist in the proposed area of operations.

### **Information Resources**

- The Sphere Project, Humanitarian Charter and Minimum Standards in Disaster Response. Geneva: The Sphere Project, 2004, esp. Chapter 4, "Minimum Standards in Shelter, Settlements, and Non-Food Items," found at: <http://www.sphereproject.org/handbook/index.htm>
- Field Operations Guide for Disaster Assessment and Response, USAID November 2005, found at: [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#fog](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog)
- Tom Corsellis and Antonella Vitale, Transitional Settlement Displaced Populations. Cambridge, UK: University of Cambridge, 2005, found at: [http://www.shelterproject.org/shelter/download/guidelines/Transitional\\_Settlement\\_Displaced\\_Populations\\_2005.pdf](http://www.shelterproject.org/shelter/download/guidelines/Transitional_Settlement_Displaced_Populations_2005.pdf)
- CHF International, The Economic Impacts of Shelter Assistance in Post-Disaster Settings. Silver Spring, MD, USA: CHF International, 2005 (funded by USAID/OFDA), found at: <http://www.chfhq.org/content/general/detail/2136>
- *Guidelines for Rapid Environmental Assessment*. Developed by Charles Kelly for Benfield Hazard Research Center and CARE International. [http://www.benfieldhrc.org/disaster\\_studies/rea/rea\\_guidelines.htm](http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm)

**Sub-Sector: Camp Design and Management**

**Indicators**

- Number of households receiving shelter according to Sphere Guidelines
- Percentage of total affected population receiving shelter assistance
- Amount and percentage of approved project budget spent in the affected local economy (in USD)

**Information Resources**

See listings under guidance for all sub-sectors.

**Sub-Sector: Emergency Shelter**

**Indicators**

- Number of households receiving shelter according to Sphere Guidelines
- Percentage of total affected population receiving shelter assistance
- Amount and percentage of approved project budget spent in the affected economy

**Information Resources**

See listings under guidance for all sub-sectors.

**Sub-Sector: Shelter Hazard Mitigation and Environmental Management**

**Indicators**

- Number of shelters incorporating hazard mitigation measures
- Number of settlements adopting hazard mitigation measures
- Number of people receiving training
- Number of project trainees retaining knowledge received for identified activities
- Number of non-beneficiaries who learned and applied mitigation measures

**Information Resources**

See listings under guidance for all sub-sectors

**Sub-sector: Transitional Shelter and Settlements**

**Indicators:**

- Number of households receiving shelter according to Sphere Guidelines
- Percentage share of total affected population receiving shelter assistance
- Amount and percentage of approved project budget spent in the affected economy

**Information Resources**

See listings under guidance for all sub-sectors.

## ***J. Sector: Water, Sanitation, and Hygiene (WASH)***

### **Available Sub-sectors**

Hygiene Promotion	Sanitation (Household Level)
Water	Other Environmental Health

### **Background**

The Water, Sanitation, and Hygiene (WASH) Promotion sector attempts to reduce morbidity and mortality associated with water-borne diseases and environmental health. In writing proposals, special attention should be made to the following:

- Innovation in the sector is highly encouraged on both the programmatic and monitoring and evaluation levels.
- Emergency/relief WASH interventions should be seen as the first step, rather than the only step of assistance. As such, every effort should be made to incorporate sustainability, links to transition, and incorporating institutional partners.
- Note that this section gives specific guidance on indicators and information to be provided for each sub-sector. Not all projects will intervene in every sub-sector and not all projects will include each intervention. Only respond to information relevant to your proposed sub-sectors and interventions.

### **Guidance for All WASH Sub-Sectors**

Please answer the following questions as they relate to all proposed interventions:

### **Justification**

- Describe the applicant's experience in implementing water, hygiene, sanitation, and environmental health projects.
- Explain the most common lessons learned from past water, hygiene, sanitation, and environmental health projects. Describe how this project will implement the lessons learned?
- Have any assessments been made and if not, when and who will conduct them?
- Describe how the proposed activities will be integrated into national strategies, for example, the MoH, Ministry of Rural Development, and the Ministry of Rural Water Supply.
- Describe complementary activities of other donors and local and international NGOs in the target area. In this description, make sure to include both intra-sector (within the WASH sector) and inter-sector (between the WASH sector and other sectors) activities. Additionally, please describe how the proposed intervention will integrate with these other activities.
- Explain how the project will incorporate Sphere Guidelines for water, sanitation, and hygiene promotion at facilities as well as at individual points of use, such as in the home. If it is not feasible to achieve the Sphere standards, please explain why it is not feasible and propose what future/follow on activities will allow these standards to be met.

**Beneficiary Issues**

- Describe the demographic characteristics of the targeted population.
- Describe how the proposed intervention will mitigate conflict (i.e. targeting strategy.)
- Describe the strategy for ensuring involvement of both women and men as key players in the establishment of community water/sanitation groups/committees, the promotion of hygiene, and the development/implementation of all environmental health strategies.

**Technical Design**

- Information is made available to implementing organization with respect to groundwater and other projects.
- All construction materials are readily available on the market.
- Skilled staff is available and willing to work in targeted areas.
- National government supports the proposed interventions.

<p><b>Sub-Sector: Hygiene Promotion</b></p>
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**Needs Assessment**

- Describe the current level of individual hygiene practices surrounding hand washing.
- Describe the cleanliness of water transport/storage containers.
- Describe the cleanliness of latrines.
- Describe the general cleanliness of targeted beneficiaries' courtyards/environment.
- Describe the existence of committees or groups in the community that could be utilized for infrastructure management.
- Describe the potential for private management of proposed infrastructure.

**Justification for Intervention**

- Explain how hygiene promotion interventions will improve on existing conditions found in the needs assessment.
- Have water and sanitation infrastructure management schemes such as committees failed in the past? If so, explain what innovation this project will introduce to achieve success.

**Activities**

- Maintenance of water points
- Maintenance of latrines
- Behavioral component of hand washing; water transport, storage, and consumption; latrine usage

**Beneficiary Issues**

Follow the general guidance for WASH programs above.

**Technical Design**

Follow the general guidance for WASH programs above.

**Indicators**

- Number of water and sanitation committees revitalized, trained, and/or established



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- Average cleanliness of water points three months after their completion, reported as the percent of water points implemented that are still “clean” three months after the intervention. “Clean” here is defined as achieving the following criteria: no standing water, fenced in site, and an established and followed set of usage rules.
- Average increase (reported as percentage of people) in good hand washing practices, reported as the change in percent of the targeted population washing hands correctly before and after the intervention. If 50 percent of the population washed their hands correctly before the intervention and 75 percent did so after the intervention, then the change is 75 percent minus 50 percent, or an increase of 25 percent of the population who washed their hands correctly. “Washing hands correctly” is defined here as achieving the following criteria: used soap, dried hygienically (e.g. air dried or used a clean towel), and did not wash in collective basin. Measuring this indicator will require a baseline survey to be implemented before the intervention and an impact survey to be implemented after the intervention.
- Average increase (reported as percentage of people) in correct water usage practices, such as water collection, transport, storage, and consumption, reported as the change in percent of population using water correctly before and after the intervention. As above, if 50 percent of the population used water (transported it, stored it, and consumed it) correctly before the intervention, and 75 percent did so after the intervention, then the change is 75 percent minus 50 percent, or an increase of 25 percent of the population who used water correctly. “Used water correctly” is defined here as achieving the following criteria: only adults accessed drinking water; water transport and storage occurred in covered containers. Measuring this indicator will require a baseline survey to be implemented before the intervention and an impact survey to be implemented after the intervention.

### **Information Resources**

- The Sphere Project. Humanitarian Charter and Minimum Standards in Disaster Response. Web: <http://www.sphereproject.org> Guidelines
- Improving Hygiene Through Behavior Change: A Process Guide on Hygiene Promotion (Environmental Health Project, USAID, Washington DC)
- Helping Health Workers Learn (The Hesperian Foundation)
- Just Stir Gently (IRC publications)
- [http://wedc.lboro.ac.uk/WHO\\_Technical\\_Notes\\_for\\_Emergencies/](http://wedc.lboro.ac.uk/WHO_Technical_Notes_for_Emergencies/)
- [http://www.globalhandwashing.org/Publications/Handwashing\\_Handbook.pdf](http://www.globalhandwashing.org/Publications/Handwashing_Handbook.pdf)

### **Sub-Sector: Sanitation (Household Level)**

### **Needs Assessment**

- Describe the current method of human waste disposal and latrine coverage for the affected population.
- Describe current method of household solid waste/garbage disposal.
- Describe the current methods and facilities used for bathing, hand washing, and food storage.

### **Justification for Intervention**

- Explain types/design of latrines proposed, including dimensions of pit (depth, diameter, etc.) Why were these types of latrines selected?

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- Explain design of proposed interventions (e.g. introduction of hand washing devices, bathing facilities, or trash pits) and explain how they will improve on the existing conditions identified in the needs assessment.

### **Activities**

- Human waste management (latrines)
- Solid waste management (household)
- Bathing facilities
- Hand washing facilities
- Food sanitation
- Environmental impact

### **Beneficiary Issues**

Follow the general guidance for WASH programs above.

### **Technical Design**

Follow the general guidance for WASH programs above.

### **Indicators**

- Number of household latrines constructed
- Number of beneficiaries benefiting from household latrines
- Number of communal/institutional latrines constructed
- Number of beneficiaries benefiting from communal/institutional latrines
- Number of household hand washing facilities introduced
- Number of communal hand washing facilities introduced
- Number of household waste management pits dug

### **Information Resources**

- The Sphere Project. Humanitarian Charter and Minimum Standards in Disaster Response. Web: <http://www.sphereproject.org> Guidelines
- [http://wedc.lboro.ac.uk/WHO\\_Technical\\_Notes\\_for\\_Emergencies/](http://wedc.lboro.ac.uk/WHO_Technical_Notes_for_Emergencies/)

<b>Sub-Sector: Other Environmental Health</b>
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### **Needs Assessment**

Provide a snapshot of environmental health in the area: include livestock issues, communal/municipal solid waste management practices, pollution sources, erosion, etc.

### **Justification for Intervention**

For each proposed environmental health intervention, explain how the intervention will address the current problems identified in the needs assessments.

### **Activities**

- Drainage
- Debris cleanup
- Solid waste management (community/municipal)
- Livestock and pollution Issues

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- Community participation

### **Beneficiary Issues**

Follow the general guidance for WASH programs above.

### **Technical Design**

Follow the general guidance for WASH programs above.

### **Indicators**

- Number of community waste management facilities constructed (including medical incinerators)
- Average cleanliness of community waste management facilities three months after their completion, reported as the percent of facilities implemented that are still “clean” three months after the intervention. “Clean” here is defined as achieving the following criteria: no waste or debris visible outside the structure, regular maintenance occurs, etc.
- Number of animal pens constructed
- Number of debris cleanups undertaken

### **Information Resources**

- The Sphere Project. Humanitarian Charter and Minimum Standards in Disaster Response. Web: <http://www.sphereproject.org> Guidelines
- [http://wedc.lboro.ac.uk/WHO\\_Technical\\_Notes\\_for\\_Emergencies/](http://wedc.lboro.ac.uk/WHO_Technical_Notes_for_Emergencies/)
- *Guidelines for Rapid Environmental Assessment*. Developed by Charles Kelly for Benfield Hazard Research Center and CARE International. [http://www.benfieldhrc.org/disaster\\_studies/rea/rea\\_guidelines.htm](http://www.benfieldhrc.org/disaster_studies/rea/rea_guidelines.htm)

## **Sub-Sector: Water**

### **Needs Assessment**

- Describe any recent water related disease outbreaks in the region.
- Describe the current sources of water for the affected population, the distance to these sources, the available daily quantity of water per person per day, and the quality of the existing drinking water. Discuss the presence of any contaminants (chemical, biological, or other) present in the water that have a significant impact on human health.
- Describe the availability of existing individual water storage/transportation containers.
- Is any water treatment being practiced either at the household or water point? If so, please describe.

### **Justification for Intervention**

- For proposed water point interventions (hand dug well, borehole, spring, etc.), explain why that type of intervention was selected and include approximate/average depth and diameter (for wells).
- For proposed water storage interventions (tank, bladder, etc.), explain why that type of intervention was selected and include volume of intervention.

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- For proposed water lifting devices (different types of pumps), describe type of device selected and give rationale for this choice.
- For proposed water storage/transport containers, describe what volume of container will be provided.

### **Activities**

- Surface water systems
- Groundwater systems (hand dug wells, boreholes, springs, etc.)
- Rainwater systems
- Water lifting devices (e.g. hand pumps, motorized pumps)
- Water treatment (at water point)
- Water treatment (at point of use)
- Water testing (at water point)
- Water testing (at point of use)
- Water transport/storage
- Water distribution
- Environmental impact

### **Beneficiary Issues**

Follow the general guidance for WASH programs above.

### **Technical Design**

Follow the general guidance for WASH programs above.

### **Indicators**

- Number of protected water points (hand dug wells, boreholes, springs, etc.) established.
- Geo-coordinates of every protected water point (hand dug wells, boreholes, springs, etc.) established. This will entail purchasing of GPS units, training users, recording exact position of every intervention, and reporting these coordinates. Reporting requirements will include three measures: 1. Latitude – reported in degrees, minutes, seconds. 2. Longitude – reported in degrees, minutes, seconds. 3. Elevation - reported in meters.
- Number of beneficiaries receiving water from protected water points
- Average increase in water quantity available per person, reported as two numbers:
  - The number of liters available per person per day before the intervention
  - The number of liters available per person per day after the intervention
- Average reduction in time spent collecting water per family, reported as two numbers
  - The number of minutes it takes a family to collect water each day before the intervention
  - The number of minutes it takes a family to collect water each day after the intervention
- Percent of water points with 0 fecal coliforms per 100 ml. Measuring of this indicator will entail purchasing of water testing kits (e.g. Del Agua), training users, and collecting data.
- Percent of household water supplies with 0 fecal coliforms per 100 ml. Measuring of this indicator will entail purchasing of water testing kits (e.g. presence/absence tests such as Coliscan), training users, and collecting data.

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### **Information Resources**

- The Sphere Project. Humanitarian Charter and Minimum Standards in Disaster Response. Web: <http://www.sphereproject.org> Guidelines
- Field Operations Guide for Disaster Assessment and response, USAID November 2005. [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#fog](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog)
- Pontius, Frederick W. *Water Quality and Treatment. A handbook of community water supplies*. McGraw Hill: 1990.  
[http://wedc.lboro.ac.uk/WHO\\_Technical\\_Notes\\_for\\_Emergencies/](http://wedc.lboro.ac.uk/WHO_Technical_Notes_for_Emergencies/)

## ***K. Cross-Cutting Themes***

### **Artisanal Production**

Choose **Artisanal Production** as a cross-cutting theme if certain specific, defined livelihoods (bakers, weavers, tailors, etc.) are targeted for restoration. Interventions targeting artisans may include vocational support and training and/or capacity building.

Artisanal Production activities should ensure that all targeted participants have time to engage in activities and that there is sufficient demand for products/services on the local market.

#### **Indicators:**

- Number and percentage of participants with increased production
- Number and percentage of participants with increased sales
- Average increase in income of participants in USD over the life of the program.

#### **Information Resources:**

- Twigg, John 2001. "Sustainable Livelihoods and Vulnerability to Disasters." Benfield Greig Hazard Research Centre, Disaster Management Working Paper.

### **Capacity Building /Training**

Choose **Capacity Building/Training** as a Cross-Cutting Theme if the proposed activity: aims to provide training or skills enhancement for, or significantly improves the capacity of, the affected population. This category would include vocational training which seeks to enhance or create skill sets in individuals or groups of people in an effort to expand or reinforce livelihood opportunities. Activities could include: training of community animal health workers (for Agriculture and Food Security Sector), training of village-level pump mechanics (Water, Sanitation and Hygiene Sector), literacy/numeracy education (multiple sectors), training of community health workers (Health Sector)

#### **Indicators:**

- Number of people trained
- Number of people hired post-training
- Percentage of beneficiaries using their skills training within their livelihood activity

#### **Information Resources:**

- ILO Crisis Response and Recovery. Available at: [http://www.ilo.org/public/english/employment/crisis/areas/c\\_building.htm](http://www.ilo.org/public/english/employment/crisis/areas/c_building.htm)
- Lauffer, Silva. Timing Matters: Capacity Building during an Emergency Response. Humanitarian Practice Network. N.d. <http://www.odihpn.org/report.asp?ID=2812>

### **Cash Distribution**

Choose **Cash Distribution** as a cross-cutting theme if the proposed activity: seeks to distribute cash or check (not in-kind items) to beneficiaries. This activity is normally undertaken to increase an individual's purchasing power to either acquire household items (food or non-food items) or restore productive assets (livelihoods rehabilitation).

Programs proposing cash distributions will need to include a market analysis detailing the accessibility and functionality of markets. Also, information will be required detailing how cash will be delivered effectively and safely and distributed to beneficiaries in such a way that does not make them targets for potential crime. Proposals will also need a robust coordination section detailing how the program will mesh with other cash-transfer programs (CFW, vouchers, etc.) being implemented in the immediate geographic vicinity.

**Indicators:**

Amount of money distributed per beneficiary

**Information Resources:**

- Creti, Pantaleo and Jaspars, Susanne. Cash-Transfer Programming in Emergencies. Oxfam. 2006.
- Adams, Leslie, and Paul Harvey. Learning from Cash Responses in the Tsunami. 2006. HPG Issue Paper 4. <http://www.odi.org.uk/hpg/papers/cashissue4.pdf>
- ODI Humanitarian Policy Group. Paul Harvey. [http://www.odi.org.uk/hpg/Cash\\_vouchers.html](http://www.odi.org.uk/hpg/Cash_vouchers.html)
- ODI Case Study on the tsunami response: [http://www.odi.org.uk/hpg/Tsunami\\_cash.html](http://www.odi.org.uk/hpg/Tsunami_cash.html)

**Cash for Work (CFW)**

Choose **Cash-For-Work** as a cross-cutting theme if the proposed activities: distribute cash as payment for work services rendered. Work projects can be either individual-based or group-based.

Cash-for-work programs generally serve two purposes: 1. to increase the purchasing power of individuals by providing work-related income-generating opportunities 2. to engage the individual or community in productive work-oriented endeavors that lead to the creation of an asset or an improved state within the household or community.

CFW projects should always seek to engage individuals or communities in productive work projects. “Make-work” projects whereby the output of a project has little impact on the well-being of a household or community fall short of best practice and are seldom in the funding interest of OFDA.

**Indicators:**

- Number of people employed in the CFW
- Percentage of beneficiaries reporting increased access to food and non-food items as a result of the program

**Information Resources**

- Creti, Pantaleo and Jaspars, Susanne. Cash-Transfer Programming in Emergencies. Oxfam. 2006.
- Case Studies from the Indian Ocean Tsunami. 2005 <http://www.southasiadisasters.net/snet%20web%20pages/issue-10/snet-10%20web%20page.htm>

## **Children**

Choose **Children** as a cross-cutting theme if the proposed activities: serve a population that contains a large percentage of children; if the proposal has a large number of child-focused services (psychosocial initiatives, vaccination campaigns, safe spaces, therapeutic feeding, etc.).

### **Indicators:**

Number of children assisted

### **Information Resources:**

- Children in Disasters. Conway F. Saylor, ed. 1993. New York: Plenum Press.
- "Children in Adversity". Jo de Berry and Jo Boyden. Forced Migration Review 9. December 2000.
- The State of the World's Children (annual). UNICEF.
- The Impact of Armed Conflict on Children. International Conference Proceedings September 2000, Winnipeg, Canada. UNIFEM/UNICEF.

## **Conflict Resolution**

Choose **Conflict Resolution** as a Cross-Cutting Theme if the proposed activities engage the affected populations in actions to minimize, address, reduce, or mitigate tensions, conflicts, or disagreements between or among them.

### **Indicators**

- Number of activities undertaken to address conflict resolution
- Number of people trained in conflict resolution techniques, procedures, or skills

### **Information resources:**

InterAction. *Gems of Conflict Practice*. 2002.

<http://www.interaction.org/disaster/TCP/gems.html>

## **Gender Relations**

Choose **Gender Relations** as a cross-cutting theme if the proposed activities: target populations that exhibit extremely unbalanced male/female demographics; have undergone gender role switches or reversals; or are exhibiting disaster-related conflict or strain between females and males.

### **Indicators**

Percentage of the men and women in the targeted population or who report improvements in gender relations as a result of the activities

### **Information resources:**

New OCHA Gender Guidelines (in press)

## **HIV-AIDS**

Choose **HIV-AIDS** as a Cross-Cutting Theme if the proposed activities include a component related to addressing transmission or prevention of the disease. This could include sensitization and training, referrals, safe blood supplies, etc.



Women and in particular, adolescent girls, are at a disproportionately higher risk for contracting HIV/AIDS than their male counterparts. At present, the incidence of new cases of HIV/AIDS among females exceeds new transmission rates among males in many developing countries due to several factors, including their higher vulnerability to become victims of coercive sexual practices. Many studies show that a large percentage of adolescent girls (20-30% in some countries) are coerced into their first sexual experience at a young age. In addition, women's lower socio-economic status leaves them with fewer educational and income generating options which many times translates into dependence on older men to meet basic needs- food, shelter, school fees- in exchange for engaging in high risk sexual practices. Finally, women's lack of access to HIV/AIDS prevention (e.g. control over the use of condoms, female-controlled barrier methods, and information/health education) also contributes to increased vulnerability. Disaster contexts often exacerbate the risks of contracting and spreading HIV/AIDS.

**Indicators:**

- Number of activities addressing HIV-AIDS
- Number of people sensitized/trained in HIV-AIDS issues

**Information Resources:**

UNAIDS. Guidelines for HIV Interventions in Emergency Settings. Geneva. 1998

**Host Communities**

Choose **Host Communities** as a Cross-Cutting Theme if the proposed activities aim to assist individuals, families or communities that are helping others affected by human-caused or natural disasters.

**Indicators:**

Number of host communities assisted

**Information Resources:**

International Federation of Red Cross and Red Crescent Societies (IFRC). *Information Black Hole in Aceh*. IFRC World Disasters Report. 2005.

<http://www.ifrc.org/publicat/wdr2005/chapter4.asp>

**Host Government**

Choose **Host Government** as a Cross-Cutting Theme if the proposed activities provide support to or collaborate closely with the governments of the affected countries.

**Indicators:**

- Number of activities involve collaboration with the host government
- Total amount of funding devoted to supporting the host government

**Information Resources:**

IFRC. Code of Conduct for NGOs in Disaster Relief. Available at

<http://www.gdrc.org/ngo/codesofconduct/ifrc-codeconduct.html>. (This document outlines the working environment that partners would like Host Governments to create.)

### **IDPs (Internally Displaced Populations)**

Choose **IDPs** as a Cross- Cutting Theme if the proposed activities target for assistance individuals, families or communities that have had to move from their homes as a result of conflict, environment, economic or other forces.

#### **Indicators:**

- Total number of IDPs assisted
- Number of male IDPs assisted
- Number of female IDPs assisted

#### **Information Resources:**

- OCHA. *Guiding Principles on Internal Displacement*. 2001
- SAIS/Brookings/OCHA. *Protect or Neglect: Toward a More Effective United Nations Approach to the Protection of Internally Displaced Persons*. 2004.
- Beth Vann, *Emerging Issues in Programs Serving Displaced Populations*. September 2002.
- *Sexual and Gender Based Violence Against Refugees, Returnees, and Internally Displaced Persons: Guidelines for Prevention and Response*. UNHCR, May 2003. Available at <http://www.unhcr.org/cgi-bin/texis/vtx/protect/openssl.pdf?tbl=PROTECTION&id=3f696bcc4>

### **Information Systems/GIS**

Choose **Information Systems/GIS** as a cross-cutting theme if the proposed activities: use a system and/or geographic data, including coordinates from a GPS, geo-referenced data, and satellite imagery to assess needs, plan, track, and/or report program activities.

#### **Indicators:**

- Number of projects using GIS or geo-referenced data
- Number of projects tracked using an information system

#### **Information Resources**

Kaiser et al. *The Application of Geographic Information Systems and Global Positioning Systems in Humanitarian Emergencies: Lesson Learned, Programme Implications, and Future Research*. 2003. Disasters 27(2):127-140.

### **Infrastructure Rehabilitation**

Use **Infrastructure Rehabilitation** as a Cross-Cutting Theme if the proposed activities facilitate the construction or reconstruction of the basic facilities, equipment, and installations needed for the functioning of economic and social services. See examples below.

#### **Indicators:**

Number of infrastructure type constructed, or repaired/rehabilitated (Number of roads, bridges, clinics, hospitals, schools, electrical or energy system, etc)

**Information Resources:**

Freeman, Paul K. *Infrastructure, Natural Disasters, and Poverty*. n.d. International Institute for Applied Systems Analysis.

<http://www.iiasa.ac.at/Research/RMS/june99/papers/freemansolo.pdf>

**Livelihoods/Income Generation**

Choose **Livelihoods/Income Generation** as a Cross-Cutting Theme if the proposed activities support the pattern a person follows in order to access the goods s/he needs to survive. Livelihood patterns are built on the capabilities (or assets) a person possesses. These 'assets' are not static but ever-changing in quantity, composition, and interaction to other assets due to changes in the external environment and personal decision making. Five specific 'assets' have been identified that people routinely employ to create their livelihood patterns. These are:

- **Physical assets**—the infrastructure, tools, and goods people need to be productive
- **Human assets**—the skills, knowledge, health, and infrastructure that people use to work
- **Social assets**—the way personal relationships and interactions are employed to acquire needed resources
- **Financial assets**—the ways people access the financial resources they need
- **Environmental assets**—the way natural resources are utilized in livelihood patterns

For more elaboration or for possible assessment questions, please see the following:

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/livelihoods/assessment\\_questions.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/livelihoods/assessment_questions.pdf)

**Indicators:**

- Number of people assisted with livelihoods interventions
- Average amount of income (in \$US) generated by participant/month

**Information Resources:**

- Website for livelihoods-related discussions and studies: [www.livelihoods.org](http://www.livelihoods.org)
- Twigg, John 2001. "Sustainable Livelihoods and Vulnerability to Disasters." Benfield Greig Hazard Research Centre, Disaster Management Working Paper.
- Keen, David. *The Economic Functions of Violence in Civil Wars*. Oxford: Oxford University Press
- Lautze, Sue. "Saving Lives and Livelihoods."  
[http://www.livelihoods.org/static/slautze\\_NN192.html](http://www.livelihoods.org/static/slautze_NN192.html)
- Primer for Livelihoods Frameworks. <http://www.livelihoods.org/SLdefn.html>

**Market Rehabilitation**

Choose **Market Rehabilitation** as a cross-cutting theme if the activities proposed involve the building or rehabilitation of market sites and/or stalls, training on market function and marketing skills, or the creation of production or sales cooperatives. Provide a brief overview of the market structure(s) in the affected area. Ensure that the market area proposed for use is safe for sellers and buyers, and that if cooperatives are to be supported that there is not a negative history with them in the affected area. Describe the damages sustained to the system, as well as the disaster-induced constraints to its

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functioning. Describe the rationale for rehabilitating the system or creating new structures in this area and why the market system cannot recover without outside assistance.

### **Indicators:**

- Number of markets rehabilitated/created
- Number of cooperatives created
- Number of participants trained in marketing skills
- Percentage of targeted beneficiaries with increased engagement in economic activities
- Number/percentage of targeted small businesses with increased revenues relative to baseline

### **Information Resources**

Jacobsen, Karen. *The Economic Life of Refugees*. 2005. Bloomfield (CT): Kumarian Press

### **Micro-Finance / Micro-Credit**

**NOTE: USAID/OFDA generally discourages the submission of micro-credit program proposals, and will consider them for support ONLY under very special circumstances.** On average, micro-credit programs require a minimum of 18 months to show impact. Since USAID/OFDA emergency programs generally run no longer than 12 months, it is exceedingly difficult for any micro-credit program to show impact during the period of implementation. Such Examples of Activities will be considered only when proposed by organizations with demonstrated experience in micro-credit programming. A strong justification for why the program is warranted, confirmation of the beneficiary population's expected geographic stability in the target location(s), and a basis for why the program is expected to produce the intended results in less than 18 months will be required.

USAID/OFDA considers support to micro-finance institutions (MFIs) a viable, sustainable alternative to micro-credit programs. Support of this kind will normally come in the form of cash grants to MFIs that, due to disaster, have lost operating capital and are therefore unable to extend credit to small business owners and/or individuals.

Choose **Micro-credit** as a cross cutting theme if the proposed activities seek to provide monetary assistance to individuals, MFIs, and/or rotating savings and credit associations (ROSCAs).

### **Indicators:**

- Number of individuals receiving micro-credit assistance
- Number and percentage of micro-credit recipients who rehabilitate or establish new businesses
- Average amount (in USD) of increase in income of participants over the life of the program (based on pre-program baseline)

### **Information Resources:**

- "Supporting Micro-finance in Conflict-Affected Areas", CGAP  
[http://www.cgap.org/portal/binary/com.epicentric.contentmanagement.servlet.ContentDeliveryServlet/Publications/html\\_pubs/DonorBrief\\_21.html](http://www.cgap.org/portal/binary/com.epicentric.contentmanagement.servlet.ContentDeliveryServlet/Publications/html_pubs/DonorBrief_21.html)
- Refugee Situations. Karen Jacobsen. 2005.

- Microfinance in the Wake of Conflict. DAI 1998

### **Nomads/Pastoralists**

Choose **Nomads/Pastoralists** as a Cross-Cutting Theme if the proposed activities target those groups or populations who travel from place to place in search of food, water, and/or grazing land (nomads) or who are shepherds, herdspeople, or otherwise directly and predominantly involved in animal husbandry as a livelihood (pastoralists).

#### **Indicators:**

Number of nomads/pastoralists assisted

#### **Information Resources:**

- <http://www.nri.org/work/pastoralists.htm>
- <http://www.undp.org/drylands/docs/COP6/PASTORALISM%20PAPER.doc>

### **Protection Mainstreaming**

Choose **Protection Mainstreaming** as a Cross-Cutting Theme if the humanitarian Activities proposed within a sector or sub-sector are designed to help reduce risks or harm to vulnerable populations. For example, for the Water/Sanitation Sector, providing separate men's and women's facilities, lighting, and local community escorts for women and children are examples of protection initiatives that help reduce the risks of attacks or assaults on women and children.

The manner in which protection is incorporated into the program should be explicitly detailed with illustrations and activities. Note that the examples provided below represent only a small subset of initiatives that are possible within each sector. These activities should be framed in terms of an action that describes what is being achieved with the protection initiatives, for example: to stop, prevent, support, change, persuade, inform or educate, mobilize, care for, treat, restore, redress, provide, monitor, or report.

Progress benchmarks should be developed and reviewed regularly to assure that original assumptions about protection needs remain correct and that there are no unintended consequences of interventions.

*Coordination/Information Management Sector:* Ensure that protection information is gathered, analyzed, and disseminated to field personnel and decision-makers; ensure that sensitive information is properly coded and safe-guarded

#### **Indicators:**

- Percentage of disseminated documents that include protection information
- Percent of disseminated documents that safeguard sensitive information

*Economic Recovery Sector:* Ensure that activities proposed do not put individuals at additional risk (inter-personal or inter-community jealousy; remote sites; etc.); design initiatives that both generate income and reduce risks (for example alternatives to gathering fuel); include men in discussions of women's activities to avoid exacerbating jealousy and domestic violence

**Indicators:**

Percent of income-generating activities that reduce risks for targeted population

*Food Security/Agriculture Sector:* Employ protocols to ensure that women and children and ethnic/religious minorities, etc. receive their humanitarian rations; ensure that agriculture initiatives for women do not add an intolerable work burden to their already busy schedules and do not require the children to assist to the extent that they stop going to school; design agriculture programs that do not expose agriculturalists to attack or other abuse (e.g., synchronized work schedules; accompaniment services to agricultural fields, etc.)

**Indicators:**

- Percent of vulnerable populations receiving full designated rations
- Percentage of women accompanied to agricultural fields in insecure areas

*Health and Nutrition Sectors:* Services to address sexual and gender-based violence, as well as reproductive health issues including medical services that are culturally appropriate (i.e. female doctors); protocols established to protect the privacy of victims of violence; establish systems in health care centers to collect information on sexual violence cases that is closely safeguarded for possible use in later trials; developing protocols that are that are GBV-survivor friendly and with clear standards for the care and treatment of children and women survivors; enhancing the capacity of CHWs to monitor/report/provider referrals for protection issues; psychosocial programs for populations affected by violence and/or trauma that are culturally appropriate and ethically sound;; referral procedures for violence cases whose complications cannot be addressed within the local health system; issuance of birth/death documentation; and ensuring access to all those in need of services

**Indicators:**

- Number and types of gender-based violence (GBV) services provided
- Percentage of targeted staff trained in protection sensitivity
- Number of systems of privacy protocols established and adhered to

*Shelter and Settlements Sector:* Develop processes to prevent separation of families during the movement into sheltered settings; establishment of camps only when necessary, with host families as a preferable solution; camps sited far away from areas of conflict and national borders; camp layout/design to fully integrate community needs/preferences in order to reduce threats to safety (consider tribal/ethnic/religious tensions in camp design and layout, and promote a sense of community, cognizant of recreational spaces and aesthetics); shelter construction help to households unable to construct their own; shelters with separate rooms for women and children, inclusion of 'child friendly' spaces in camps; shelter materials and distance between dwellings that provide for greater privacy and dignity (especially in cultures where men's and women's activities are markedly separate); specialized training sessions for women and children on evacuation of buildings during earthquakes and tsunamis. Make provisions for/designation of ownership of dwellings to ensure identified inhabitants have documented rights, address land

tenure issues to avoid eviction and homelessness.

**Indicators:**

- Number of settlement solutions provided that reduce the need for large camps
- Percent of camps sited away from conflict and borders

**WASH Sector:** Separate men's and women's latrines, washing, and bathing facilities; organize local communities to accompany women and children to water points and latrines where necessary; construct latrines in the center of camps/communities rather than at the unmonitored peripheries and ensure lighting at night where possible; design/construct latrines that are culturally appropriate, make provisions for individuals with physical disabilities and the elderly, ensure education for proper use, develop procedures for maintenance and cleaning of latrines to encourage appropriate use, ensure appropriate durability and security measures when constructing latrines; develop distribution networks with water points located throughout communities that improve access and convenience; ensure access to users

**Indicators:**

- Percentage of latrines built with separate facilities for men and women
- Percentage of latrine facilities providing accompaniment services for women and girls, where necessary

**Returnees**

Choose **Returnees** as a Cross-Cutting Theme if the proposed activities aim to assist those displaced individuals or populations who are returning home or to new settlement areas.

**Indicators:**

- Number of returnees assisted
- Number of returnees settling permanently in home village or new area

**Information Resources:**

- Refer to UNHCR and IOM websites
- Beth Vann, *Emerging Issues in Programs Serving Displaced Populations*. September 2002.
- *Sexual and Gender Based Violence Against Refugees, Returnees, and Internally Displaced Persons: Guidelines for Prevention and Response*. UNHCR, May 2003. Available at <http://www.unhcr.org/cgi-bin/texis/vtx/protect/opendoc.pdf?tbl=PROTECTION&id=3f696bcc4>

**Slavery/Trafficking**

Choose **Slavery/Trafficking** as a Cross-Cutting Theme if the proposed activities address the prevention or mitigation of slavery or trafficking (commercial exchange of persons for labor or other exploitation).



**Indicators:**

- Number of people trained in slavery and trafficking sensitivity
- Number of individuals removed from a slavery/trafficked status

**Information Resources:**

UN Office on Drugs and Crime:

[http://www.unodc.org/unodc/en/trafficking\\_protocol\\_background.html](http://www.unodc.org/unodc/en/trafficking_protocol_background.html)

**Vector Control**

Choose **Vectors** (organisms that transmit pathogens from one host to another) as a Cross-Cutting Theme if the proposed activity: seeks to control disease vectors in its programming. This activity is normally associated with public health and disease prevention. Vector control activities usually fall within the following sectors: agriculture, health, nutrition, shelter, and WASH.

**Indicators**

- Number of people trained in vector control
- Number of hectares/sites/houses treated against vectors

**Information Resources:**

CDC Guidance: <http://www.cdc.gov/nceh/ehs/ETP/vector.htm>

**Vouchers**

Choose **Vouchers** as a Cross-Cutting Theme if the proposed activity seeks to distribute either cash or commodity vouchers that, in themselves, have no cash value, but can be redeemed for commodities and/or services with reimbursement to merchants distributed by the implementing organization. Cash vouchers usually have a designated value which can be exchanged for an array of commodities up to the specified value type. Commodity vouchers are exchanged for a fixed amount of a stated commodity and therefore are immune to price fluctuations.

When markets are functioning and the local supply for specific commodities is available and appropriate, USAID/OFDA prefers the use of vouchers to traditional commodity distributions. Voucher interventions spread economic benefits beyond direct beneficiaries to merchants and local suppliers of goods/services. When appropriate, voucher interventions are preferable to and more beneficial than commodity distributions which bypass local markets and merchants.

**Indicators**

- Number of people receiving vouchers
- Number of merchants participating in the voucher activity
- Percentage of vouchers redeemed,
- Total monetary value of vouchers redeemed,
- Percentage of types of goods procured

**Information Resources**

- Creti, Pantaleo and Jaspars, Susanne. Cash-Transfer Programming in Emergencies. Oxfam. 2006.



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- Harvey, Paul. HPG Discussion Paper. "Cash and Vouchers in Emergencies."  
[http://www.odi.org.uk/hpg/papers/cash\\_discussion\\_paper.pdf](http://www.odi.org.uk/hpg/papers/cash_discussion_paper.pdf)

## GENERAL BUDGET NOTES

Sample detailed budgets for both primary recipients and sub-partners, together with sample budget narratives, are available online at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#grants](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#grants).

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

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

When sufficient information is provided in the detailed proposal, prior approval will be deemed to have been provided.

## VIII. Glossary of Terms

<b>Annual Program Statement</b>	A form of solicitation used to generate competition for new awards where USAID/OFDA intends to support a variety of approaches by NGOs that are in keeping with OFDA's objectives.
<b>Assessment (Needs assessment)</b>	The process of determining the impact or potential impact of a crisis or event prior to, during, and/or after the crisis or event. An assessment determines the need for immediate emergency measures to save and sustain lives and reduce suffering of affected populations, and calculates the possibilities for expediting recovery. It also evaluates the capacity of local populations to cope with the crisis. The assessment process can range from formal and scientific to anecdotal and impressionistic and should continue via monitoring and adjustment throughout the duration of the program.
<b>Beneficiaries</b>	The members of an affected population who receive humanitarian assistance.
<b>Context-Specific Programming</b>	An approach to programming that reflects the combination of variables that distinguish the context of a disaster, such as gender roles, the environment, and social and political networks.
<b>Coping Mechanisms</b>	The set of behaviors or activities that people engage in to survive a crisis, such as consuming wild foods or selling assets such as livestock, property, jewelry, tools, and household furnishings.
<b>Cost Sharing</b>	In appropriate instances, USAID may require that a specified percentage of a program's funding come from non-federal sources. Cost sharing may be cash or in-kind, and may be from the applicant's own funds or from third-parties. For types of contributions that may be considered for the purposes of cost sharing, see 22 CFR 226.23, <a href="http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html">http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html</a>
<b>Critical Assumptions</b>	General conditions that are outside the control or influence of an organization but, if changed, may affect the ability to successfully implement a program.
<b>Goal</b>	The overall purpose of the program. The big picture.
<b>Indicator</b>	A measurement used to demonstrate change resulting from a particular intervention. Indicators are used to monitor progress toward achieving performance targets.
<b>Indirect Beneficiaries</b>	Members of an affected population who do not receive direct

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	assistance but who nonetheless benefit from assistance being given to their relatives, neighbors, friends, or community.
<b>International Standard</b>	An accepted measure for a humanitarian assistance commodity or service delivery recommended by relevant international organizations.
<b>In-kind Contribution</b>	The value of non-cash contributions to a program provided by the applicant/recipient or any non-USG party, including counterpart contributions from host country institutions. In-kind contributions may be in the form of space, equipment, supplies, expendable property, and the value of goods and services directly benefiting and specifically identifiable by an organization. See 22 CFR 226.23 for further information: <a href="http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html">http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html</a>
<b>Livelihoods</b>	The means by which an individual or a part of a society sustains its existence.
<b>Measurable</b>	Describes an outcome that can be determined and reported quantitatively or qualitatively, and used as a basis for comparison.
<b>Mitigation</b>	Measures taken to reduce the loss of life, livelihoods, and property by reducing vulnerability.
<b>Objective</b>	A subset of the goal that more specifically categorizes program activities according to needs to be addressed. Please refer to the list of OFDA's approved sector objectives.
<b>Performance Baseline Data</b>	Description of the prevailing conditions at the onset of the applicant's proposed intervention. Performance baseline data should be both quantitative and qualitative. It is imperative to have a realistic picture of the starting point for any program in order to measure progress accurately.
<b>Performance Target</b>	Performance targets measure the specific, planned result(s) to be achieved within an explicit timeframe and can be qualitative or quantitative.
<b>Preparedness</b>	Actions taken to reduce the loss of human lives and the economic impact of disasters by strengthening local capacities to respond.
<b>Prevention</b>	Measures taken to prevent a natural phenomenon or potential hazard from having harmful effects on either persons or economic assets.
<b>Qualitative Data</b>	Descriptive observations often expressed in reference to behavior, attitudes, beliefs, and personal experiences.
<b>Quantitative Data</b>	Data expressed numerically that may include qualitative

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information.

**Risk**

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

**Sphere Project**

A broad collaborative effort initiated in 1997. Its aim is to reach common minimum standards for emergency activities on the basis of humanitarian principles covering essential “life saving” sectors: water, sanitation, and hygiene promotion; food security, nutrition, and food aid; shelter, settlement, and relief commodities; and health services.

**Targeted Population**

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

**Time Line**

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

**USAID Regulation 26**

“Administration of Assistance Awards for U.S. Non-Governmental Organizations.”

**Vulnerability**

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

## IX. Checklist for Preparation of Branding Strategies and Marking Plans

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

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

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

### **BRANDING STRATEGY**

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

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✓ or N/A	Content
	<p>If a program logo will be developed and used to identify the program, a copy of the logo is attached.</p> <p>Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.</p>
<b>2. Program Communications and Publicity</b>	
	<p>Primary and secondary audiences for this project or program are identified.</p> <p>Note: Direct beneficiaries and any special target segments or influencers should be identified, e.g., "Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers."</p>
	<p>Communications or program materials to be used to explain or market the program to beneficiaries are identified.</p> <p>Note: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, etc.</p>
	<p>Main program message(s) is/are identified, e.g., "Be tested for HIV-AIDS" or "Have your child inoculated."</p>
	<p>Indication is given as to whether the NGO plans to incorporate USAID's primary message – that the aid is "from the American people" – into the narrative of program materials.</p> <p>Note: This is optional; however, marking with the USAID Identity is required.</p>
	<p>Indication and explanation is given as to whether the NGO will publicly announce and promote the program or project to host country citizens.</p> <p>Note: Incorporating the message "USAID - From the American People" and the USAID Identity is required.</p>
	<p>If the NGO will publicly announce and promote this program or project to host country citizens, indication is given as to what press and promotional activities are planned.</p> <p>Note: These may include media releases, press conferences, public events, etc.</p>
	<p>Additional ideas are provided about how to increase awareness that the American people support the project or program.</p> <p>Note: This is optional. One of USAID's goals is to ensure that both beneficiaries and host-country citizens know that the aid that USAID is providing is "from the American people."</p>
<b>3. Acknowledgements</b>	
	<p>Indication is given as to whether there will be any direct involvement from a host government ministry.</p>
	<p>If there will be any direct involvement from a host government ministry, such ministry(ies) is/are identified.</p>
	<p>Indication is given as to whether the NGO will acknowledge the ministry as an additional co-sponsor.</p> <p>Note: It is perfectly acceptable and often encouraged for USAID to "co-brand" programs with host government ministries.</p>
	<p>Indication is given as to whether there are any other groups whose logo or identity the NGO will use on program materials and related communications.</p> <p>Note: Indication should be given as to whether they are also a donor, or why they will be visibly acknowledged, and if they will receive the same prominence as USAID. USAID generally requires equal or greater prominence.</p>

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

### MARKING PLAN

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



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

**C. Presumptive Exceptions**

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

**REQUEST FOR PRESUMPTIVE EXCEPTION**

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

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### D. Waivers

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

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

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

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

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

### REQUEST FOR WAIVER

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

## X. USAID/OFDA Acronyms

<b>ADS</b>	USAID Automated Directive System
<b>AELGA</b>	USAID's Assistance for Emergency Locust/Grasshopper Abatement
<b>AI</b>	Avian Influenza
<b>ANC</b>	Antenatal Clinic
<b>APDR</b>	Additional Program Description
<b>APS</b>	Annual Program Statement
<b>ARI</b>	Acute Respiratory Infection
<b>ARV</b>	Anti-Retroviral
<b>CAHW</b>	Community Animal Health Worker
<b>CDR</b>	Crude Death Rate
<b>CHW</b>	Community Health Worker
<b>CMR</b>	Crude Mortality Rate
<b>CSB</b>	Corn-Soya Blend
<b>CTC</b>	Community-based Therapeutic Care
<b>CTO</b>	Cognizant Technical Officer. The CTO is an OFDA staff member authorized to carry out certain aspects of contract or grant administration by the Agreement Officer, policy, or regulation.
<b>DART</b>	Disaster Assistance Response Team. A DART may include members from USAID's Office of Food For Peace, USAID's Office of Transition Initiatives, State/PRM, and other USAID bureaus and USG agencies.
<b>DCHA</b>	USAID's Bureau for Democracy, Conflict, and Humanitarian Assistance. DCHA was formerly the Bureau for Humanitarian Response (BHR).

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<b>DOS</b>	Disaster Operations Specialist. The DOS is responsible for the day-to-day management of one or more specific activities and is the point of contact for proposal and report submissions. The DOS serves as OFDA's CTO for grant administration, and may have responsibility for multiple countries.
<b>ECA</b>	OFDA's East and Central Africa Team
<b>ECARO</b>	OFDA East and Central Africa Regional Office
<b>EDRC</b>	Emergency Disaster Response Coordinator. The EDRC is an OFDA field representative based in an affected country.
<b>EMCA</b>	OFDA's Europe, Middle East, and Central Asia Team
<b>EPA</b>	U.S. Environmental Protection Agency
<b>EPI</b>	Expanded Program of Immunizations
<b>ETOP</b>	Emergency Transboundary Outbreak Pests
<b>FAO</b>	U.N. Food and Agriculture Organization
<b>FDA</b>	U.S. Food and Drug Administration
<b>FOG</b>	OFDA's Field Operations Guide for Disaster Assessment and Response
<b>GAM</b>	Global Acute Malnutrition
<b>GPS</b>	Global Positioning System
<b>HIS</b>	Health Information Systems
<b>IDP</b>	Internally Displaced Person
<b>ITN</b>	Insecticide-Treated Bed Nets
<b>KAP</b>	Knowledge, Attitude, and Practice
<b>LAC</b>	OFDA's Latin America and Caribbean Team
<b>LQAS</b>	Lot Quality Assurance Sampling
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MAM</b>	Moderate Acute Malnutrition

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<b>MDRO</b>	Mission Disaster Relief Officer. The MDRO is a staff member of the USAID Mission or the U.S. Embassy who is the USG's in-country point of contact for disaster response.
<b>MFI</b>	Micro-Finance Institution
<b>MMR</b>	Maternal Mortality Rate
<b>MoH</b>	Ministry of Health
<b>MUAC</b>	Middle Upper Arm Circumference
<b>NFI</b>	Non-Food Items
<b>NGO</b>	Non-Governmental Organization
<b>OCHA</b>	U.N. Office for the Coordination of Humanitarian Affairs
<b>OFDA/W</b>	Office of U.S. Foreign Disaster Assistance headquarters in Washington, D.C.
<b>ORT</b>	Oral Rehydration Therapy
<b>OTP</b>	Outpatient Therapeutic Program
<b>PAL</b>	Pre-award letter. The PAL communicates any agreements, such as start dates, that may be reached with applicants prior to award.
<b>PIO</b>	Public International Organization
<b>PML</b>	Pre-modification letter. Similar to a PAL, except that a PAL is used for new awards whereas a PML may be used for modifications to existing awards.
<b>PRA</b>	Principal Regional Advisor
<b>PVO</b>	Private Voluntary Organization. For more details see: <a href="http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/">http://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/</a>
<b>PWD</b>	Person With Disabilities
<b>RA</b>	Regional Advisor
<b>RFA</b>	Request for Applications
<b>RH</b>	Reproductive Health
<b>RMT</b>	Response Management Team

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<b>ROSCA</b>	Rotating Savings and Credit Association
<b>RUTF</b>	Ready-to-Use Therapeutic Food
<b>SAM</b>	Severe Acute Malnutrition
<b>SAR</b>	Search and Rescue
<b>SARO</b>	OFDA Southern Africa Regional Office
<b>SC</b>	Stabilization Center
<b>SFP</b>	Supplementary Feeding Program
<b>State/PRM</b>	U.S. Department of State Bureau of Population, Refugees, and Migration
<b>STI</b>	Sexually Transmitted Infection
<b>SWAN</b>	OFDA's Southern, West, and North Africa Team
<b>TBA</b>	Traditional Birth Attendant
<b>TFC</b>	Therapeutic Feeding Center
<b>U1MR</b>	Under One-Year Mortality Rate
<b>U5MR</b>	Under Five-Years Mortality Rate
<b>ULV</b>	Ultra-Low Volume
<b>UNDSS</b>	U.N. Department of Safety and Security
<b>UNICEF</b>	U.N. Children's Fund
<b>USAID/OAA</b>	USAID's Office of Acquisition and Assistance
<b>USD</b>	U.S. Dollar
<b>USG</b>	U.S. Government
<b>VCT</b>	Voluntary Counseling and Testing Centers
<b>WARO</b>	OFDA West Africa Regional Office
<b>WASH</b>	Water, Sanitation, and Hygiene
<b>WHO</b>	U.N. World Health Organization

## **XI. General References**

### **USAID/OFDA**

USAID/OFDA Homepage

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance)

USAID/OFDA Field Operations Guide (FOG)

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/#fog](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/#fog)

Disaster Reduction: A Practitioner's Guide

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/pdf/disaster\\_reduction\\_2002.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/disaster_reduction_2002.pdf)

Performance Monitoring Plan (PMP) based on general USAID guidance

[http://www.dec.org/pdf\\_docs/pnaby215.pdf](http://www.dec.org/pdf_docs/pnaby215.pdf)  
[http://cdie.usaid.gov/pme/htm\\_docs/sec7/pmptbl.htm](http://cdie.usaid.gov/pme/htm_docs/sec7/pmptbl.htm)

### **OTHER OFFICES IN USAID AND THE U.S. GOVERNMENT**

USAID Policy and Procedures: the Automated Directives System (ADS)

<http://www.usaid.gov/policy/ads/>

Results-Oriented Assistance: A USAID Source Book

<http://www.usaid.gov/pubs/sourcebook/usgov/>

22 CFR 226: (Regulation 26)

[http://www.access.gpo.gov/nara/cfr/waisidx\\_06/22cfr226\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html)

U.S. Office of Management and Budget (OMB) Circulars

<http://www.whitehouse.gov/omb/circulars/index.html>

OMB Standard Forms (SF424, *et al.*)

[http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html)

Annual Program Statements (APSs)

<http://www.grants.gov/>

Requests for Applications (RFAs)

<http://www.grants.gov/>

Federal Acquisition Regulation (FAR)

<http://www.arnet.gov/far/>

USAID Acquisition Regulation (AIDAR)

<http://www.usaid.gov/policy/ads/300/aidar.pdf>



## **USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING**

Contract Information Bulletins (CIBs)/A&A Policy Directives (AAPDs)  
[http://www.usaid.gov/business/business\\_opportunities/cib/index.html](http://www.usaid.gov/business/business_opportunities/cib/index.html)

22 CFR 228: (Source/Origin/Supplier Nationality)  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_06/22cfr228\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr228_06.html)

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

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

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

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

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

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

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

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

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

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

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

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

### **INTERNATIONAL**

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

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

Disaster Grant-Making: A Practical Guide for Foundations and Corporations

## USAID/OFDA GUIDELINES FOR UNSOLICITED PROPOSALS AND REPORTING

<http://www.efc.be/ftp/public/IC/DisasterGrantMaking.pdf>

World Watch Institute

<http://www.worldwatch.org/>

United Nations Centre for Human Settlements (Habitat)

<http://www.unchsh.org/>

Global Economic Prospects and the Developing Countries - World Bank (PovertyNet)

<http://www.worldbank.org/poverty/data/trends/income.htm>

U.S. National Weather Service

<http://www.nws.noaa.gov/>

National Hurricane Center

<http://www.nhc.noaa.gov/>

Joint Typhoon Center

<http://metocph.nmci.navy.mil/jtwc.html>

International Research Institute for Climate and Society

<http://iri.columbia.edu/>

Climates of the World - National Oceanic and Atmospheric Administration

<http://www.ncdc.noaa.gov/documentlibrary/pdf/climatesoftheworld.pdf>

Geographic Information Support Team

<http://gist.itos.uga.edu/>

Worldwide Disaster Database - Center for Research on the Epidemiology of Disasters

<http://www.cred.be/>

Climate Information Project

<http://www.oqp.noaa.gov/mpe/csi/cip/>

Famine Early Warning System Network

<http://www.fews.net/>

## PUBLICATIONS

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