

**OFDA GUIDELINES
for
GRANT PROPOSALS
and
REPORTING**



U.S. Agency for International Development
Bureau for Humanitarian Response
Office of U.S. Foreign Disaster Assistance

OCTOBER 1998



**U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT**

Dear Implementing Partner,

In 1996 we distributed the last version of *Guidelines for New Grant Proposals and Grant Revisions*. Since then, many new disasters--both natural and conflict-related--have unfolded around the world. The complexity of many of these disasters continues to challenge the capacity of the humanitarian community to prevent, prepare for, respond to, and mitigate their effects. Increasingly, donor governments are under pressure to shift funds from development to disaster response portfolios, and a large proportion of those response funds are being used to address prolonged, complex emergencies. This shift in focus reflects both (1) the disturbing inability (or unwillingness) of many societies to resolve conflicts in a non-violent manner, and (2) donor fatigue with interminable requests to address the chronic needs spawned by long-term crises. Ironically, the downsizing of development portfolios will likely have the unwanted effect of diminishing the preventive and mitigative effects of effective development programs around the world. Development programs designed with local and regional vulnerabilities in mind can help prepare populations for times of crisis. Reducing the opportunities for development initiatives would hit hardest those regions recognized for their chronic vulnerability to disasters.

In response to this change in focus, OFDA has undergone recent structural changes with the aim of further increasing its capacity and effectiveness. First, the disaster response (DRD) and prevention, mitigation, preparedness, and planning (PMPP) divisions have merged to form multi-functional teams assigned to strategic geographic regions. Because disaster contexts can vary significantly, we are placing more emphasis on context-specific programming. To complement our staff currently working in the Philippines, Nepal, Zimbabwe, Liberia, and Burundi, OFDA has placed additional individuals in the field and will establish two regional offices in West Africa (Abidjan) and East and Southern Africa (Nairobi) in addition to our existing office in Costa Rica, San Jose. These new staff and offices will greatly strengthen our capacity to plan and respond in a timely and more field-sensitive manner, with increased attention paid to security concerns as well as linkages between relief and development initiatives.

The following guidelines have been revised and updated in line with our internal reorganization and new modes of thinking. We look forward to continued mutual collaboration with our partners to strengthen our collective abilities to more effectively address the growing multitude of crises around the world.

Sincerely,

Roy Williams, Director
Office of U.S. Foreign Disaster Assistance

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INTRODUCTION

These guidelines are intended to assist organizations in the preparation of proposals for new grants and grant modifications and their submission to the Office of U. S. Foreign Disaster Assistance (OFDA). It lays out considerations relevant to the grant proposal review and award process, and outlines the main components of a grant proposal. Several annexes provide additional information on indicators for assessing program performance, the importance of context, linking relief to development, and geographic information.

OFDA's Mandate and Role in Humanitarian Assistance

OFDA is part of the U. S. Agency for International Development (USAID)'s Bureau for Humanitarian Response (BHR). OFDA's mandate is to save lives, reduce human suffering and mitigate the economic impact of natural and man-made disasters worldwide. Its unique role is to coordinate international disaster assistance for the U. S Government. The authority to provide disaster assistance is found in the Foreign Assistance Act of 1961, as amended. Much of this authority is passed to the USAID Administrator, who serves as the President's Special Coordinator for International Disaster Assistance. The USAID Administrator has delegated this authority to OFDA's Director.

OFDA funds are available for:

- disaster relief - assistance provided to at risk populations in complex emergencies, natural or man-made disasters to sustain life or reduce human suffering,
- rehabilitation - assistance to restore the self-sufficiency and livelihoods of disaster affected populations,
- prevention, mitigation and preparedness - assistance to reduce disaster impacts in areas at risk.

OFDA categorizes disasters into three types:

- Complex Emergencies - Humanitarian emergencies that are frequently caused or complicated by civil strife. Although complex emergencies can only be resolved by a political solution to the root causes of the crisis, humanitarian assistance is necessary in the interim to save lives and alleviate human suffering.

- Natural Disasters - Humanitarian emergencies that are caused by hydro-meteorological and geophysical hazards such as floods, severe storms, storm surges and tsunamis, landslides, earthquakes, volcanoes, fires, drought and pest and disease outbreaks.
- Man-made Disasters - Humanitarian emergencies caused by human error in design, implementation, operation and management. These emergencies include the failure of dams and other infrastructure and industrial and technological accidents.

The high cost of complex emergencies as compared to natural disasters is due to the multifaceted approach required and the frequent need to provide for a wide range of critical emergency needs of disaster victims over extended periods of time. A large percent of OFDA's funding has increasingly been allocated to complex emergencies. In the face of many expensive and protracted complex emergencies, the challenge of ensuring the greatest possible impact through the most effective use of resources continues to inform OFDA's programmatic decisions.

Recent Topics of Focus at OFDA

Mitigation and Planning

Although OFDA focuses on critical relief in disaster situations, its mandate also emphasizes prevention, mitigation, preparedness and planning. OFDA primarily works through USAID Missions to support the integration of preparedness, planning and mitigation into development activities. OFDA encourages disaster prevention, mitigation and preparedness activities both in the course of implementing a disaster response and as a strategy to reduce disaster impacts in areas at risk. Criteria for evaluating proposals - particularly for those outside an on-going disaster response - include: regional impact, promotion of capacity building, enhancement of coordination, pilot innovative approaches, and support for the application of information resources to reduce disasters. OFDA's "Mitigation Practitioner's Handbook" is available for additional guidance on this issue.

Linking Relief to Development

OFDA is continuing to improve efforts to link relief, rehabilitation and development activities. Facilitating the transition from relief to development, sustaining livelihoods, and reducing the dependence of disaster victims on relief assistance remains an important focus of OFDA's work (See Annex I).

Context Specific Programming

Critical analyses of disasters published over the past few years have demonstrated the unique nature of every disaster according to a wide variety of variables. In response, OFDA is encouraging its implementing partners to design and implement programs that reflect the unique combination of variables that distinguishes the context of every disaster. Examples of variables that can influence disaster programming include gender, the environment, political and economic dynamics, and social networks. For guidance on the relevance of contextual information to disaster programming see Annex F.

Collaboration with Partner Organizations

OFDA continues to invest in improved collaboration with its implementing partners. On average sixty percent of OFDA's humanitarian assistance is provided through grants to Private Voluntary Organizations (PVOs)/Non-Governmental Organizations (NGOs). Along with its other partners in the international community and among other USG agencies, OFDA continues to rely on the PVO/NGO community to implement many of its activities. These activities will help OFDA achieve its strategic objectives of: 1) meeting the critical needs of targeted vulnerable populations in emergency situations, and 2) increased adoption of mitigation measures in countries at greatest risk of natural and man-made disasters. While understanding the difficulties often involved in monitoring emergency programs with mobile populations in volatile situations, OFDA is putting more emphasis on careful analysis to determine the nature of critical needs, vulnerabilities and capacities, and on evaluation and performance monitoring plans. Proposals will also be evaluated against past performance, reasonableness of cost and availability of funds.

The sample formats in these guidelines apply to all proposals for grants (or modifications) no matter the type of assistance, i.e., disaster relief; rehabilitation; or prevention, mitigation, preparedness. Some of the information requested may not be relevant for all types of proposed activities and will not be required. Nevertheless, the better an organization addresses the information needs of OFDA, the easier it will be to judge the merits of the proposed program. If there are questions about whether to include certain information, please feel free to contact the appropriate team coordinator at OFDA.

OFDA PROPOSAL REVIEW AND GRANT AWARD PROCESS

Proposals should be received from an organization's headquarters and be provided to OFDA/Washington, USAID Missions (if present in country) and OFDA Field Offices simultaneously. The proposal review process begins the moment OFDA/Washington receives a proposal. A final decision is made, on the average, four to six weeks after receipt, but a decision can be made in several days, if necessary. If a final decision is not made within six weeks of submission, OFDA will inform the applicant of the status of the proposal review process. Similarly, if a proposal is rejected, the applicant will be informed by letter.

The steps in the proposal review process for a new grant are:

1. OFDA/Washington contacts an organization's headquarters to acknowledge receipt of proposal.
2. OFDA/Washington, USAID Mission and OFDA/Field Office collaboratively consider the proposal. OFDA/Washington schedules a formal proposal review in Washington. OFDA retains the right to reject a proposal at any point in the review process. The reasons for rejection will be relayed to an organization's headquarters.
3. The formal proposal review results either in acceptance of the proposal (in full or in part) or rejection of the proposal. OFDA/Washington contacts the organization's headquarters to resolve outstanding issues as identified in the formal proposal review, and by the USAID Mission and/or the OFDA Field Office. If the proposal is rejected, OFDA/Washington notifies the organization's headquarters.
4. When outstanding issues are resolved, OFDA/Washington prepares and processes the necessary documentation for a grant award. USAID's Office of Procurement negotiates and awards the grant.
5. OFDA/Washington sends the grant document to the organization's headquarters for signature. (It is the responsibility of the organization's headquarters to forward a copy to the organization's field staff).

The process is slightly different in the review of proposals for grant modifications. The review process is carried out collaboratively between OFDA/Washington, USAID Mission and OFDA field Office but usually does not include a formal proposal review. Requests for a change in the program description or additional funds should be submitted at least 45 days in advance. Requests for additional time should be submitted at least 10 days in advance of the grant expiration date.

DESCRIPTION OF A GRANT PROPOSAL

I. Executive Summary

The executive summary should include the information outlined in sample format, Annex A.

II. Problem Analysis

This section should provide the rationale and justification for the proposal. Sufficient detail should be provided to enable OFDA to determine the priority of the proposed activities and interventions.

A. Background.

Describe the anticipated and/or known elements of the crisis or hazard (earthquake, drought, civil strife, etc.) including its magnitude, impact and/or level of risk, date of onset and duration, and location (country, region, town, etc.). Maps are encouraged.

B. Analysis.

Provide a synthesis of assessments or other descriptive and analytical efforts that have been conducted to determine the nature of the problem. Indicate dates, sources of information, and describe the most critical needs, vulnerabilities or capacities that were identified.

C. Profile of Target Population.

Provide a profile of the targeted population(s). At-risk populations should be qualified by number, current location, health status, demographic characteristics including gender, age, and ethnicity (where political circumstances allow), and any other unique or germane factors distinguishing the population. See Annex F for guidance on context-specificity. Please explain, where appropriate, the relationships between direct and indirect beneficiaries. Please cite information sources.

III. Program Goal and Objectives

A. Program Goal.

Define the goal, objectives, and assumptions of the program. Organize proposals based on stated objectives which, in turn, should be distinct, quantifiable and measurable. See Annex C for examples.

B. Indicators.

Provide indicators for assessing progress toward achievement of each objective and explain how they will be measured. See Annex D for examples. Also see Section VI, Monitoring and Performance Measurement.

IV. Program Description

This section is the core of a proposal. It should clearly and concisely outline the implementation plan for each objective including those elements described below, as appropriate. It should reflect a thorough understanding of the problem described in Section II.

A. Implementation Plan.

For each objective, provide a detailed implementation plan. This should include identification of the targeted population, a description of any goods and services to be provided, and the standard of delivery used. (One example of an internationally accepted standard is the SPHERE Project Minimum Standards in Humanitarian Response.)* If the standard of delivery differs from an accepted international standard, provide justification for the variance.

Describe the logistics plan, if relevant. Highlight potential obstacles which would impede delivery of program commodities, and provide a respective contingency plan. Include justifications for any extraordinary needs such as the use of airlifts, helicopters, boats, etc.

Describe capital equipment and commodities that will be required to achieve the stated objectives. Include a justification for the procurement of non-U.S. manufactured vehicles, if applicable.

*More information may be attained at the SPHERE web site located at:
<http://www.ifrc.org/pubs/sphere>

B. Suggested Elements.

1. Context-Specific Programming.

Ensure that the proposal reflects an understanding of the particular characteristics of the disaster context. See Annex E.

2. Local Community Interaction and Capacity Building.

Explain how the activity fits within, and enhances, the existing capacities of the local community. Indicate how the program draws upon and supports traditional coping mechanisms and involves the targeted population in its design and implementation. Describe how the proposed activity will strengthen the capacity of the identified partners (including targeted populations) to respond to this and future emergency situations.

3. Coordination Efforts.

- a. Indicate if this program will stand alone or is part of a larger country program. Describe how the program fits into the broader country program, if applicable.
- b. Explain efforts to coordinate with other organizations to prevent overlaps and duplication. Explain how the program will interface with and complement other programs, as applicable.
- c. Describe the proposed initiative's possible regional (cross-border) implications.

4. Linking Relief and Development.

Explain how the program reflects the principles of linking relief and development (see Annex I for guidance). Indicate how the program will take steps to mitigate possible direct and indirect negative consequences.

V. Management, Administration and Security

A. Program management.

Provide details on the following areas of the program's management.

1. Describe the organization's management structure. Describe how this structure will be used to achieve the stated objectives.
2. Describe the phase out/hand-over plans. Include, where feasible, recommendations for next steps.
3. Provide examples of past performance that demonstrate the organization's success in implementing similar programs. Include contact names and telephone numbers for references.

B. Administration.

Include the following information as part of your proposal.

1. Include completed Certifications and Representations. For a blank form, see Annex K.
2. Include Self-Certification for Compliance with USAID policies and procedures for personnel, procurement, and travel.
3. Include a copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.
4. Include information in support of proposed cost-sharing/cost-matching.
5. Provide information detailing proposed in-kind contributions.
6. Provide details of sub-award arrangements.
7. If the organization has not previously received funding from BHR/OFDA and is not registered with USAID, provide audited financial statements.

C. Security.

1. Describe the current security situation in the region of the program's operation.
2. Provide details on the organization's ability to achieve program objectives given the current level of insecurity. Describe how the program will respond to a deterioration of the security situation.
3. Identify indicators that will be used to assess when program objectives cannot be met, and when the program would be suspended, due to security concerns.
4. Has the organization and its Board of Directors adopted the Interaction Security Planning Guidelines? If not, explain. For the guidelines, see Annex J.

VI. Monitoring and Performance Measurement

A. Monitoring Plan.

Describe your monitoring plan. Include at least the following elements in the discussion:

1. A time line to help OFDA track the program's progress.
2. Indicators and details on how they will be measured, including the frequency of the measurements, units of measure, etc. See Annex D.
3. Monitoring tools such as clinic records, rapid assessment surveys, etc.

B. Performance Measurement.

Establish, where possible, baseline and expected performance targets for each objective.

VII. Budget

Include a budget that is broken down by each objective of the proposed program (See Annex E). Staffing and office needs often cannot be easily allotted to specific objectives and can be given for the whole program, if more appropriate.

GUIDELINES FOR GRANT MODIFICATIONS

I. Criteria for Written Approval

Per USAID Regulation 26, you must receive prior written approval for all modifications to USAID grants if:

- A. there is a change to the program's objective(s) or program description.
- B. additional OFDA funding is required.
- C. funds allocated for indirect costs are to be transferred to other line items or vice versa.
- D. funds allocated for participant training allowances are to be transferred to other line items or vice versa.
- E. work covered under the grant is to be sub-awarded, transferred or contracted out to another entity unless approved at the time of award.
- F. additional time is needed to accomplish grant objectives (unless this requirement was specifically waived in the original grant agreement.)

II. Modification Request

Select all conditions that apply from the following list to determine what information is required by OFDA to consider a modification request. All information should originate from the organization's headquarters and be directed to the OFDA team coordinator. Written approval will be provided by the USAID agreement officer unless otherwise notified.

A. Request for a Change to the Program Description

If a new objective is proposed, substantiate the objective with information appropriate to a new grant proposal (see pages 6-10) and include an executive summary (see Annex A). Proposals to change an objective should indicate the degree to which the original objectives and targets have been achieved. If no new objective is proposed but a change to the program description is required to satisfy an existing objective, justify the change. Submit requests at least 45 days in advance.

B. Request for Additional Funds

Justify the need for additional funds and include a revised SF 424A (see Annex G), a revised budget (see Annex E) and a revised budget narrative to reflect the addition of funds. To prevent a break in funding, submit requests at least 45 days in advance.

C. Request for Additional Time

Explain why the objective(s) cannot be accomplished by the existing grant end date. Modify the time line to correspond to the new time frame. Submit requests at least 10 days in advance of the grant expiration date. If prior written approval has been waived, follow procedures outlined in the grant agreement.

D. Request for Any Other Change

Justify the need to deviate from the original grant agreement.

SEE USAID REGULATION 26 FOR MORE INFORMATION
REG 26 IS AVAILABLE AT WWW.INFO.USAIID.GOV
UNDER "BUSINESS AND PROCUREMENT"

GUIDELINES FOR REPORTING

I. Executive Summary

The reporting summary should include the information outlined in sample format, Annex B.

II. Program Overview

Limit to one half page. Include the following:

- A. Restate the goal and objectives of the program as outlined in the proposal.
- B. Profile of the targeted population and the critical needs identified in the proposal.
- C. Geographic locations of all major program activities. (See Annex H, may require additional pages.)

III. Program Performance

- A. Describe the program performance, vis-a-vis the program objectives as outlined in the grant. For each objective provide the following information:
 - 1. Actual accomplishments compared to stated objectives, indicators and targets established for the reporting period. Provide both supporting quantitative and qualitative information. Accomplishments must show both progress made during the reporting period and cumulative achievements.
 - 2. Reasons why established targets were not met, if applicable, and how it will impact the objective. Discuss how the impact has been, or will be, addressed.
- B. Provide success stories, if available, which illustrate the direct, positive effects of your program on individuals, families or communities.
- C. Explain how unforeseen circumstances effected overall program performance compared to original assumptions, if applicable. Further, explain how activities were accordingly adjusted or re-targeted.

IV. Resource Use / Expenditures

- A. Provide a brief summarization of the resources committed during the reporting period. When appropriate and the output of program objectives can be readily quantified, such data should be related to unit costs. Include other pertinent financial information including analysis and explanation of cost overruns or high unit costs.
- B. Provide a table detailing, by objective, current budget, expenditures for the reporting period and cumulative expenditures to date. The final report should indicate any residual funds that are to be refunded to USAID.

Notwithstanding the reporting requirements set forth above, recipients shall immediately notify USAID of developments that have a significant impact on USAID-supported activities. This notification shall be given in the case of problems, delays or adverse conditions which materially impair the ability to meet the objectives of the program. This statement shall include a statement of the action taken or contemplated and any assistance needed to resolve the situation.

Suggested Format for Executive Summary

(To be attached to the body of Proposal)

Organization: _____	Date: _____
Mailing Address _____	Contact Person: _____
_____	Telephone: _____
_____	Fax: _____
_____	Internet Address: _____

Program Title: _____

Country(ies)/Region(s) _____

Disaster/Hazard _____

Period of Activity _____

Dollar Amount Requested from OFDA: \$ _____

Dollar Amount Requested from Other Sources \$ _____

Dollar Amount of In-Kind Contributions \$ _____

Total Dollar Amount of Project \$ _____

Describe, in one paragraph, the history of the disaster or hazard and a justification for the activity. State the goal and expected result(s).

For each objective, provide the following (repeat for each objective...see reverse):

<p>Objective #1: _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>For each objective, provide:</p> <p>Profile of targeted population</p> <p>Length of time needed to fully satisfy objective:</p>
--

ANNEX A

Objective #2: _____

For each objective, provide:

Profile of targeted population _____
Length of time needed to fully satisfy objective _____

Objective #3: _____

For each objective, provide:

Profile of targeted population _____
Length of time needed to fully satisfy objective _____

Objective #4: _____

For each objective, provide:

Profile of targeted population _____
Length of time needed to fully satisfy objective _____

Suggested Format for Reporting Summary

(To be attached to the body of Report)

Quarterly/Mid-Term/Annual/Final Report¹

Organization: _____	Date: _____
Mailing Address _____	Contact Person: _____
_____	Telephone: _____
_____	Fax: _____
_____	Internet Address: _____

Program Title: _____

Cooperative Agreement/Grant No. _____

Country(ies)/Region(s) _____

Disaster/Hazard _____

Time Period Covered by This Report _____ To _____

Briefly summarize the activities undertaken during the reporting period detailing progress made towards achievement of program goals and whether expected results remain unchanged from the original proposal.

For each objective, provide the following (repeat for each objective...see reverse):

Objective #1: (Summarize Progress toward achievement of this objective)

Indicator and Current Measure _____
Resources:
Budget for Objective 1 _____ Expended This Period _____
Cumulative Expenditures to Date _____ Balance _____

¹Identify the type of report

ANNEX B

Objective #2: (Summarize progress towards achievement of this objective)

Indicator and Current Measure _____

Resources:

Budget for Objective 2 _____ Expended This Period _____

Cumulative Expenditures to Date _____ Balance _____

Objective #3: (Summarize progress towards achievement of this objective)

Indicator and Current Measure _____

Resources:

Budget for Objective 3 _____ Expended This Period _____

Cumulative Expenditures to Date _____ Balance _____

Objective #4: (Summarize progress towards achievement of this objective)

Indicator and Current Measure _____

Resources:

Budget for Objective 1 _____ Expended This Period _____

Cumulative Expenditures to Date _____ Balance _____

EXAMPLES OF GOALS, ASSUMPTIONS AND OBJECTIVES

GOALS AND ASSUMPTIONS

The following are examples of overall program goals and assumptions upon which they are based.

Goals:

- | | |
|------------------|---|
| Example 1 | Reduced incidence of morbidity and mortality by 10% in the Southeast province of the disaster-affected country (or region, etc.). |
| Example 2 | Improved food security of targeted vulnerable population in the disaster-affected country (or region, etc.). |
| Example 3 | Reduced vulnerability to severe damage due to future flooding in the disaster-prone country (or region, etc.). |

Assumptions:

- | | |
|------------------|---|
| Example 1 | Security situation remains stable. |
| Example 2 | Target population is not further displaced and remains in current location. |
| Example 3 | Security situation remains volatile, with continued population movements due to ongoing fighting. |

OBJECTIVES AND ILLUSTRATIVE ACTIVITIES

The following examples are intended to demonstrate the type of objectives for which OFDA believes measurable results can be obtained. They are illustrative and are by no means intended to be exclusive.

- | | |
|------------------|---|
| Example 1 | Objective: Prevalence of moderate and severe malnutrition among children under five reduced to less than X %. |
| | Illustrative activities to achieve this objective: |
| | 1) undertake selective feeding |
| | 2) distribute food rations |

Example 2

Objective: Vaccination coverage for measles among children under five in targeted areas increased from X% to Y%

Illustrative activities:

- 1) conduct EPI campaign, or
- 2) establish/rehabilitate cold chain facilities

Example 3

Objective: Access to quality basic preventive and primary health care increased for vulnerable populations

Illustrative activities:

- 1) train health care workers,
- 2) rehabilitate or build new primary care facilities, or
- 3) provide medical supplies to health care centers

Example 4

Objective: Incidence of cholera reduced from X to Y

Illustrative activities:

- 1) conduct health information campaign,
- 2) train health workers on treatment and prevention of cholera, or
- 3) provide medical supplies & equipment

Example 5

Local capacity to appropriately respond to emergency situation increased

Illustrative activities:

- 1) equip facilities, or
- 2) train staff of local institutions

Example 6

Objective: Access to food among targeted population increased

Illustrative activities:

- 1) conduct income generation program,
- 2) conduct cash for work programs, or
- 3) establish monetization program to encourage improved market access

Example 7

Objective: Food security of the targeted pastoralist community stabilized by maintaining the health of their livestock

Illustrative activities:

- 1) provide veterinary drugs, or
- 2) train animal health workers

Example 8

Objective: Potential impact of flooding mitigated by increasing the capacity of the local population of X community

Illustrative activities:

- 1) conduct public education and awareness campaigns,
- 2) provide technical advice to local authorities on how to mitigate flooding

MENU OF PERFORMANCE INDICATORS

The following illustrative indicators were extracted from the “Menu of Sector-Specific Humanitarian Assistance Performance Indicators” compiled by the USAID/Bureau for Humanitarian Response (BHR) Performance Monitoring Working Group. This document emanated from BHR's workshops in Washington and the field on indicators and will be used for generating program performance data for BHR Agency reporting. It can also be used by Implementing Partners to manage the performance of their emergency response programs. The original list derived from Implementing Partners inputs, USAID/Missions FY 1996 R4 reports, USAID's central and geographic Bureaus' reports, and the SPHERE project. It was refined using the following criteria:

1. Measurability (i.e., is it a direct measure of the result being sought?)
2. Sensitivity (i.e., can it capture small changes over short time intervals?)
3. Cost-effectiveness (i.e., can the data be collected at a reasonable cost?)
4. Practicality and timeliness (i.e., is indicator widely understood and used and data elements are available for use in a timely manner?)
5. Redundancy (i.e., is the indicator captured elsewhere?)

The indicators are grouped by sector and type -- impact, effect and process/output indicators. Impact indicators measure progress toward affecting the human conditions of the targeted vulnerable population. Effect indicators, in general, measure changes in behavior of program beneficiaries, and process/output indicators measure the direct outcome of application of inputs (i.e., number trained, number fed, number sheltered, etc.)

For all programs that have been operational for more than 90 days, it is anticipated that at least one or more impact indicators will be used. In general, it is expected that the longer a program has been active, measurement will shift from reliance on process or input level indicators to greater use of impact level indicators.

While these indicators are by no means all inclusive, they cover many of the types of interventions most frequently supported by OFDA. For the areas not covered by these illustrative lists, implementing partners are encouraged to design indicators relevant to their programs following the criteria listed above.

Emergency Health/Medical

This sector captures most activities related to the provision of emergency medical services and health assistance such as immunization, treatment for injuries and ailments, and control of the spread of epidemics. It also includes capacity strengthening activities such as training of nurses and health attendants, protection and rehabilitation of lifeline facilities (such as hospitals) and restocking of health facilities.

Impact Indicators

- HM1.** Immunization coverage rate (percent) within target population (as appropriate for stage of emergency)
- children under 5 years of age vaccinated for measles diphtheria, polio, pertussis, etc.
 - the general target population
 - eligible women vaccinated with tetanus toxoid (TT)
- HM2.** Mortality rate within target population
- infants (<1 year)
 - children under 5 years of age
 - maternal
- HM3.** Morbidity rate within targeted population (as appropriate for stage of emergency)
- prevalence of diarrheal episodes
 - number and percentage of cases treated by type
- HM4.** Number and percentage of low-birth-weight infants born in target population*

Effect Indicators

- HM5.** Number and percentage of people in the target population using health care facilities.*
- HM6.** Number and percentage of women in target population using ANC/PNC services*

Process/Output Indicators

- HM7.** Number and percentage of people targeted by health information campaigns*
- HM8.** Number and percentage of emergency health providers that are following international health protocols

* Applicable only for longer term emergencies (over 90 days)

Food Security/Nutrition

Food-for work, cash-for-work, food-for-agriculture (seeds and tools) and livestock activities directed at improving the food security of disaster victims. In addition, this sector includes general distribution of free emergency food commodities, therapeutic and supplemental feeding.

Impact Indicators	FN1. Number and percentage of target population at or above pre-determined cut-offs for nutritional status as measured by edema and MUAC (short-term) and weight-for-height (applicable only for longer term emergencies (over 90 days)).
Effect	FN2. Number of days of household food reserves
Process/Output Indicators	<p>FN3. Number and percentage of families within the target population provided with fuel efficient technology</p> <p>FN4. Number and percentage of people in target population with timely access to the minimum pre-established daily caloric and nutrient requirements</p> <p>FN5. Number and percentage of people in target population trained in appropriate farming techniques *</p> <p>FN6. Change (Number of hectares and percentage) in area cultivated by target population*</p> <p>FN7. Direction of price trends for livestock and staple food crops*</p> <p>FN8. Number and percentage of families within the target population that still possess productive assets (livestock, farm tools, plow oxen, etc.)</p>

*Applicable only for longer term emergencies (over 90 days)

Water/Sanitation

Potable water distribution, development of clean water distribution networks, bore holes, wells and stocking of water bladders fall in this sector. In addition, all activities related to human waste disposal such as construction of latrines, shower facilities and the distribution of sanitation commodities such as soap, etc., are also grouped in this sector.

Effect Indicators

- WS1. Number of pit latrines that were completed in accordance with pre-established standards and are being used by the target population*
- WS2. average personal water consumption (liters/person/day)

Process/Output Indicators

- WS3. Number and percentage of people in target population provided with access to adequate, potable water within an acceptable time frame
- WS4. Number and percentage of people in target population with access to adequate sanitation facilities within an acceptable time frame
- WS5. Average distance traveled by women to fetch water*
- WS6. Number and percentage of women with adequate access to sanitation facilities (not shared with men where appropriate)
- WS7. Number of families with adequate facilities and supplies for collecting and storing water *
- WS8. Number and percentage of people in target population trained in proper construction, use, care and maintenance of pit latrines*

*Applicable only for longer term emergencies (over 90 days)

Shelter/Settlement

The distribution of plastic sheeting, blankets and clothing, building material, cooking utensils are grouped under this sector. In additions, it includes activities directed at settling IDPs.

Process/Output Indicators

- SS1.** Number and percentage of people in target population receiving household items, such as utensils, fuel, cooking devices, etc. within an acceptable time frame
- SS2.** Number and percentage of target population under shelter, meeting pre-established standards
- general population
 - women-headed households
- SS3.** Number and percentage of children attending basic education classes at least X hours *
- SS4.** Number of structures rehabilitated/established *
- SS5.** Number of target communities where basic services have been restored *

*Applicable only for longer term emergencies (over 90 days)

SAMPLE BUDGET DETAIL

While budgets must be summarized by objectives on SF-424A, in order to make a thorough review of program cost, a budget detail should also be included as part of a proposal. The budget detail rather than duplicating the information captured on the SF-424A, should provide a detailed breakdown of the line items within each object class category. If a specific unit of cost applies to more than one objective, the cost can be allocated (by percentages) across objectives or summarized in a separate cost objective for shared costs.

SAMPLE BUDGET

Object Class	Unit	Months	Amount (USD)	Objective One	Objective Two	Shared Costs*	Total OFDA	Total Other	Total
Category									
Expat Personnel									
Expat Program Mgr	1	6	\$2,500			\$15,000	15,000		15,000
Program Officer	1	6	2,000			12,000	12,000		12,000
Medical Officer	1	6	2,000	12,000			12,000		12,000
Wat/San Officer	1	6	2,000		12,000		12,000		12,000
Local Staff									
Nurses	4	6	300	7,200			7,200		7,200
Monitors	6	6	250		9,000		9,000		9,000
Drivers	2	6	200			2,400	2,400		2,400
Travel									
Int'l Travel	3		3,000	3,000	3,000	3,000	9,000		9,000
Regional Travel	10		10,000	4,000	4,000	2,000	10,000		10,000
Equipment									
Vehicles	3		30,000	30,000	30,000		60,000	\$30,000	90,000
Monolith Pump	1		3,300		3,300		3,300		3,300
Supplies									
Well Materials			8,000		8,000		8,000		8,000
Medical Supplies			10,000	10,000			10,000		10,000
Other									
Office Rental	1	6	500			3,000	3,000		3,000
Vehicle Rental	1	6	450		2,700		2,700		2,700
Total Direct				66,200	72,000	37,400	175,600	30,000	205,600
Indirect Cost @ 10%				6,620	7,200	3,740	17,560	3,000	20,560
Total Request				\$72,820	\$79,200	\$41,140	\$193,160	\$33,000	\$226,160

*Shared Costs can optionally be segregated into a separate budget category or spread over individual objectives

SAMPLE BUDGET NARRATIVE

The budget narrative provides an opportunity to substantiate the figures developed for the budget. The budget narrative should expand on information included in the detailed budget by providing information on how costs were estimated. Methodologies for estimating costs could include current actual cost experience, pro-forma invoices, etc. If a line item applies to more than one objective, it need only be listed once.

OBJECTIVE #1

Expatriate

Project Manager

The project manager will divide time between both objectives. Salary is based on the established salary scale of the organization.

National Engineer

An engineer is needed to oversee the digging of the well and to train local residents in its maintenance and operation. Salary is based on the going rate for engineers on the local economy.

House Rental

The house will be occupied by the Project Manager. The monthly rent for the 1,200 sq. ft. house is based on actual cost of \$600.00 per month.

International Airfare

One round-trip ticket is required to transfer the Project Manager from headquarters in the U.S. to the project site and return. The price quoted is based on quotes provided by corporate travel agency.

Monolith Pump

The price quoted is based on actual costs established through competitive bid

Construction Materials

The price quoted is based on engineering estimates developed by the project engineer.

Office Rental

The office will serve as a base of operations for all staff associated with both objectives. The monthly rental for the 400 sq. ft. office is based on actual cost at \$1.25/sq. ft.

Vehicle Rental

The vehicle will be used by the engineer and the price quoted is based on actual cost.

OBJECTIVE #2

National Nurse

Two nurses will carry out immunization activities. Their salaries are based on the going rate for nurses on the local economy.

Medical Supplies

The price quoted is based on actual cost established through competitive bid.

Vehicle Rental

The vehicle will be used by the nurses and the price quoted is based on actual cost.

1. TYPE OF SUBMISSION: Application: _____ Preapplication: _____		2. DATE SUBMITTED	Applicant Identifier
<input type="checkbox"/> Construction <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier ANNEX F
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICANT: (enter appropriate letter in box)	
8. TYPE OF APPLICATION <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify): _____ C. Increase Duration _____		A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learn. C. Municipal K. Indian Tribe D. Township L. Individual E. Interstate M. Profit Organization F. Intermunicipal N. Other (Specify): _____ G. Special Dist.	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE:		9. NAME OF FEDERAL AGENCY:	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	END DATE	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE	
b. Applicant	\$	TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:	
c. State	\$	DATE _____	
d. Local	\$	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
e. Other	\$	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
f. Program Income	\$		
g. TOTAL	\$		
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

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Authorized for Local Representative

Standard Form 424 (REV 4-92)
Prescribed by OMB Circular A-102

Standard Form 424A						
OMB Approval No. 0348-0044						
Budget Information - Non-Construction Programs						
SECTION A - BUDGET SUMMARY						
Grant Program	Catalog of Federal	Estimated Unobligated Funds		New or Revised Budget		
Function	Domestic Assistance					
or Activity	Number	Federal	Non-Federal	Federal	Non-Federal	Total
{a}	{b}	{c}	{d}	{e}	{f}	{g}
1.	\$	\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS	\$	\$	\$	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
		Grant Program, Function or Activity				Total
6. Object Class Categories	{1}	{2}	{3}	{4}	{5}	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$
Previous Edition Usuable		Authorized for Local Reproduction			Standard Form 424 A (Rev. 4-92)	

Standard Form 424A (cont'd)						
SECTION C - NON-FEDERAL RESOURCES						
Grant Program		(b) Applicant	(c) State	(d) Other Source	(e) TOTALS	
		\$	\$	\$	\$	
TOTAL (sum of lines 8 - 11)		\$	\$	\$	\$	
SECTION D - FORCASTED CASH NEEDS						
		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Federal		\$	\$	\$	\$	\$
Non-federal						
TOTAL (sum of lines 13 and 14)		\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT						
Grant Program		Future Funding Periods (Years)				
		(b) First	(c) Second	(d) Third	(e) Fourth	
		\$	\$	\$	\$	
TOTAL (sum of lines 16 - 19)		\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION						
Direct Charges:		22. Indirect Charges:				
Remarks:						
Authorized for Local Reproduction		Standard Form 424 A (Rev. 4-92) Page 2				

INSTRUCTIONS FOR THE SF 424A

General Instructions

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

Section A.

Budget Summary

Lines 1-4

Columns (a) and (b)

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

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

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs. Lines 1-4, Columns (c) through (g)

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

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

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

Line 5 - Show the totals for all columns used.

Section B.
Budget Categories

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

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

Line 6j - Show the amount of indirect cost.

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

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

Section C.
Non-Federal Resources

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

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

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

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

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

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

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

Section D.

Forecasted Cash Needs

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

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

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

Section E.

**Budget Estimates
of Federal Funds
Needed for Balance
of the Project**

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

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

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

Section F.

**Other Budget
Information**

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

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

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

Standard Form 424B

ASSURANCES – NONCONSTRUCTION PROGRAMS

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

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

NOTE:

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-225), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism (g) Sec 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provision in the specific statute(s) under which application for Federal assistance is being made and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted program. These requirements apply to all interest in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provision of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
 - B.** Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et. seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et.seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et. seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular A-133, Audit of Institutions of Higher Learning and other Non-Profit Institutions.
 - d. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED
CERTIFYING OFFICIAL

TITLE

APPLICANT ORGANIZATION

DATE SUBMITTED

PRINCIPLES OF CONTEXT-SPECIFIC PROGRAMMING

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

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

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

1. International partners have the responsibility to identify how the ways in which human populations function and organize themselves in non-disaster periods is relevant to disaster programming.

Recipient organizations shall demonstrate the relevance to their proposed activities of the following characteristics during non-disaster periods :

- Demographic variation within the affected population according to gender, age, ethnicity, and socio-economic status;
- Social and economic networks and organization of the affected population; and

- Relations of political and economic power that shape the structure and function of local populations (e.g., between males and females; state-sanctioned and traditional leadership; various ethnic groups; regions and the nation; the affected nation and other nations).
 - Connections between the affected population(s) and the local ecosystem and natural resources.
- 2. The design and implementation of relief programs shall address the range of observed and potential effects of the disaster on affected population(s):**
 - Differential impacts of the disaster on the capacities and needs of the affected population(s) according to gender, age, ethnicity, and socio-economic status;
 - Effects of the disaster on the social and economic networks and organization of the affected population(s);
 - Disaster-induced shifts in economic, political, and social power among the affected population(s); and
 - Impacts of the disaster on the local ecosystem and on the capacity of the affected population to access and utilize natural resources.
- 3. International partners have the responsibility to identify and address the effect(s) of their proposed activities on disaster-affected populations.**
 - Proposals shall incorporate specific references to relevant lessons learned from previous disaster situations and/or development programs in the affected area.
 - Recipient organizations shall describe the potential short- and long-term impacts (both positive and negative) of their proposed interventions on the health and welfare of the affected population(s) and the environment. (For example: What are the anticipated impacts of relief food distribution on health, local and regional agricultural productivity, markets, and power relations among members of a household?)

GUIDELINES FOR GEO-REFERENCING PROGRAM ACTIVITIES

Geo-location information is requested for all major program activities that have physical locations. This information facilitates program monitoring and planning and provides a geo-reference for program performance indicator measurements. Geo-referenced reporting of assessment and other program-related information is also encouraged.

A complete geo-reference includes the form:

Organization:
Date: Information was recorded
Country (Common short form)
First Administrative Unit (The first level of internal subdivision equivalent to a U.S. state)
Second Administrative Unit (The second level of internal subdivision equivalent to a U.S. county or parish)
Place (The town, village or camp name)
Latitude (In degrees, minutes and seconds)
Longitude (In degrees, minutes and seconds)

Notes:

- 1) Reporting by latitude and longitude is encouraged. Coordinates may be obtained using a Global Positioning System (GPS) receiver.
- 2) In general, geo-referenced information should be summarized in table form rather than interspersed into narrative. Maps are encouraged but not as a substitute for tabular data.
- 3) In addition to the location information above, all program activity items reported should include the sector of the activity (health/medical, food, agriculture, water/sanitation, shelter, training, etc.) the estimated or planned start and end dates of the activity and the number of beneficiaries (see example below).
- 4) Other program-related information for which geo-referenced reporting is encouraged includes locations and numbers of IDPs or refugees and key humanitarian assistance infrastructure such as health facilities, warehouses, water points, etc.

GEO-REFERENCING DATA (example)

Organization: OFDA
 Date: October 1, 1998
 Country: Namibia

ADMIN1	ADMIN2	PLACE	LAT/LONG*	SECTOR/ ACTIVITY	START	END	TARGET POP.
Ovambo-land	Oshakati	Oshakati	17o15'32"S 15o36'59"W	water (well)	09/12/98	11/30/98	3000
Ovambo-land	Oshakati	Okahao	17o16'45"S 16o24'36"W	water (well)	09/15/98	11/30/98	2000
Herero-land	Otjiene	Summer-down	21o16'23"S 18o39'42"W	water (well)	10/31/98	12/15/98	3500
...
Herero-land	Otjiene	Stein-hausen	22o23'32"S 15o36'59"W	water (well)	10/31/98	12/15/98	1800

* LAT/LONG coordinates can be supplied in decimal degrees or minutes/seconds.

PRINCIPLES OF LINKING RELIEF TO DEVELOPMENT

The principles of linking relief to development can be applied equally well to all phases of disaster response. In many cases, OFDA funding will terminate well before the development phase begins. Nonetheless, the application of these principles from the initial phase of an emergency response can increase the effectiveness of both relief and development programs.

8. Countries have the primary responsibility for their transition from relief to development.

- Recipient organizations shall demonstrate an understanding of the affected country's standards, priorities, and goals for moving from relief to development. Recipient organizations shall structure programs so as to remain within these parameters whenever possible.
- Recipient organizations shall design and implement programs using a participatory approach that includes government entities, private businesses, and local community members to the greatest extent possible.

9. International partners have the responsibility to ensure the positive impact of their programs through effective strategic coordination.

- Recipient organizations shall coordinate actions with other players--governmental and non-governmental--to maximize the comparative advantages of each and the combined advantages of all. Coordination shall focus on creating linkages between relief and development activities.

10. Relief programs shall reinforce development objectives.

- Whenever practical, recipient organizations shall assess existing capacities to respond to the disaster and conduct a needs assessment based on the findings prior to undertaking response activities.
- Recipient organizations shall support and supplement indigenous attempts to recover from relief and to provide for development. Recipient organizations shall design and implement programs that complement and support existing capacities.
- Recipient organizations shall refrain from establishing goals or precedents that are beyond the capability of the affected country population to meet or maintain. Recipient organizations shall design and implement programs that take into account local cultures, traditions and capabilities.
- Recipient organizations shall work to save livelihoods while saving lives.

4. Programs shall be designed to help prevent disasters-natural and man-made--or to mitigate their effects so that the development progress of countries is not undermined.

- Recipient organizations shall identify vulnerabilities among affected populations and strive to address the root causes of disasters while responding to ongoing disasters.

DRAFT

InterAction Security Planning Guidelines

Importance of Security Plans

Each agency operating in an area should develop and implement a security plan. A security plan is a single document containing information, standard operating procedures and contingency plans relating to the security of NGO staff and property. The purpose of a plan is to enable staff to act effectively to prevent and mitigate the effects of security problems in a manner appropriate to the agency.

Need for Individualized Security Plans

A security plan is based upon an individual agency's security strategy which reflects its overall approach to security. Each agency is likely to take a different approach based upon the agency mission, mandate (if applicable), principles, policies and programs, as well as on their understanding of the context.

Planning Process

The process of developing, implementing and updating a plan is as important as the plan itself. An individual should be designated responsibility for leading the development of the plan as well as for the periodic review and updating of the plan. Staff expected to implement the plan should be involved its development. This helps to foster consistent implementation through ensuring that (1) the plan is realistic in its assumption about the situation, threats, and staff willingness and ability to implement it, (2) the staff understands all aspects of the plan, and (3) the staff feels ownership of the plan, thereby promoting adherence to the plan. All new staff members should be given a briefing on the situation and threats, a copy of the plan, and any training required to implement the plan.

The plan should be tested and updated at regular intervals and whenever there is a change in the situation or threats faced by the NGO.

Components of a Security Plan

I. Introduction:

- Purpose of the plan
- Identification of the person(s) responsible for security and for leading the development, review and updating of the plan
- Intended users of the plan (which staff, locations, etc. are covered)
- Location of master plan and distribution list

II. Background:

- Articulation of agency mission, mandate (if applicable), principles and policies related to security.
- Summary of the situation (political, economic, historical, military, etc.)
- Threat assessment (indicating most likely types of threats NGOs will face)

3. Standard Operating Procedures:

Outline procedures for daily operations and routines as well as individual responses to incidents. For all procedures include (1) what to do/what not to do, (2) how to do it, as appropriate, (3) who does it/with whom, (4) when it is to be done; frequency and sequence, and (5) where it is to be done.

- Site selection and management (offices, residences, etc.)
- Movement and transport (vehicles, convoys, etc.)
- Telecommunications (regular use and during emergencies)
- Post incident actions (reporting, analysis, etc.)

III. Contingency Plans:

Outline procedures for incidents requiring complex, multi-personnel responses. Include the same information as for standard operating procedures. Include also lines of communication and of authority. Articulate alternative options.

- Evacuation
- Medical evacuation
- Death of staff
- Other high risk, foreseeable events

IV. Supporting Information:

- Warden system with contact information and instructions to locations
- Cooperating agencies, contact persons and information (phone numbers, radio frequencies, etc.)
- Contact information for government officials, airport, hospital, etc.
- Maps with assembly points, routes, borders
- Emergency supply inventory
- Incident reporting forms

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE

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

- (a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____ Date _____

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

Instructions for Certification

- (1) By signing and/or submitting this application or grant agreement, the grantee/recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.

Certification Regarding Drug-Free Workplace Requirements Alternate I

A. The grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition:
- (b) Establishing a drug-free awareness program to inform employees about--
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted--
 - (1) Taking appropriate personnel action against such an employee, up to and including termination;
 - or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant/agreement:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The grantee/recipient certifies that, as a condition of the grant/agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a _____ controlled substance in conducting any activity with the grant/agreement.

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____ Date _____

3. 22 CFR PART 208, APPENDIX A -- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

Instructions for Certification:

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or

default.

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters--
Primary Covered Transactions**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____ Date _____

ANNEX K

4. CERTIFICATION REGARDING LOBBYING

By signing and submitting this proposal, the grantee/recipient is providing the certification set out below.

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," (can be downloaded from the internet at this website:

http://www.info.usaid.gov/procurement_bus_opp/procurement/forms" in accordance with its instructions.

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

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

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____ Date _____

GLOSSARY OF TERMS

Assessment (Needs assessment)	The process of determining the impact of a crisis or event prior to, during, and/or after the event or crisis. 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 capacities of local populations to cope with the crisis. The assessment process can range from formal, rigorous and scientific, to anecdotal and impressionistic.
Beneficiaries	Members of an affected population who receive humanitarian assistance.
Context-Specific Programming	An approach to programming that reflects the combination of variables which distinguish the context of each disaster, such as gender, the environment or social and political networks.
Coping Mechanisms	Behavior or activities people engage in to deal with a crisis, such as consuming wild foods, selling assets like livestock and property, jewelry, tools, household furnishings, etc.
Cost Sharing	Any instance where USAID or its grantee identifies and arranges financial or in-kind support from counterpart organizations or independent organizations to the benefit of the program.
Critical Assumptions	General conditions under which a program's hypothesis will hold true or conditions which are outside the control or influence of the implementing organization and which are likely to affect the achievement of program goals.
Disaster	The impact of a hazard upon a population or area that is vulnerable to such impacts causing substantial damage, disruption or casualties beyond the capacity of the affected population to cope with unaided. (Coburn et al. 1991, p. 53; OECD)
Goal	A high level outcome to which a program contributes and which has been identified by the implementing organization. The achievement of a program goal is conditional on accomplishment of one or more objectives in the program's overall plan.
Hazard	A phenomenon having duration, magnitude and intensity that is

potentially damaging and implies a risk to populations because of the potential for its occurrence (based on OECD 1994, p. 7).

Indicators

Characteristics or variables used for measuring intended changes. Indicators are used to observe progress and to measure actual results against expected results.

**** Impact Indicators**

Indicators that measure fundamental change in human conditions of a targeted population, such as mortality and morbidity.

**** Effect Indicators**

Indicators that gauge degrees of behavioral change, such as changes in attitudes toward gender issues, or changes in perception on the desirability of vaccinating their children, etc.

**** Output/Process Indicators**

Indicators that measure the direct outcome of an intervention, such as number of people trained, number of liters of water distributed, etc.

Indirect Beneficiaries

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

International Standard

An accepted measure for a humanitarian assistance commodity or service delivery recommended by relevant international organizations (UNDHA, UNHCR, WHO, WFP, ICRC, etc.) or by United States Government humanitarian assistance agencies (CDC, USAID/BHR, State/PRM, etc.) or by consortia of private voluntary organizations engaged in humanitarian assistance (the SPHERE Project, Interaction, FAM, etc.)

Linking Relief to Development

Deploying relief resources in a manner that saves lives and reduces human suffering, and also leads to self-reliance.

Measurable

Can be determined and reported quantitatively or qualitatively and used as a basis for comparison.

Mitigation	Reduction of disaster impact compared to actions to reduce the impact of a disaster, generally taken prior to its occurrence, including preparedness and long-term risk-reduction measures (Coburn et al. 1991, p. iii).
Objective	The end result sought; an intended measurable change that a program's activities can materially affect. A program can have one or more objectives which lead to a broader goal.
Performance Baseline	The value of a performance indicator just prior to activity implementation. A performance baseline is typically the starting point used when measuring progress toward a specific result or objective.
Performance Target	The value of a performance indicator to be achieved within an explicit time frame against which actual results are compared and assessed.
Planning (Pre-disaster)	Strategizing efforts and actions to reduce the impacts of disasters before they occur. Post-disaster planning involves strategies to cope with existing damage and to design a system of actions toward preventing or mitigating future disasters.
Preparedness	"...development of plans to structure the entire post-disaster response, to ensure that emergency aid is managed so that each activity lays the foundation for the next, and... each sector contributes in some way to the others. The first objective of preparedness is to get the absolute maximum benefit out of relief and swiftly complete the transition from emergency assistance to rehabilitation and reconstruction. The second is to insure that disaster assistance makes the greatest possible contribution to ongoing development. Finally, preparedness should guide reconstruction so that it reduces vulnerability and mitigates a recurrence of the disaster." (Cuny 1983, p. 205)
Prevention	Measures aimed at impeding the occurrence of a hazard event and/or preventing the event from causing harm (OECD 1994, p. 8).
Quantifiable	That which can be expressed or explained numerically either using statistical methods or simple counting procedures.

Risk	Consists of three components: the probability of occurrence of a hazard of a specified magnitude, identification of the elements that would be affected if the hazard event occurred, and the vulnerability of those elements to the hazard (Coburn et al. 1991, p. 52).
SPHERE Project	A broad collaborative effort initiated in 1997 which included many large and small relief agencies and donors. Its aim is to reach common standards for humanitarian emergency activities, covering five essential “life saving” sectors on the basis of humanitarian principles. The five technical areas are water/sanitation, health, nutrition, food aid, and site/shelter.
Targeted Population	Beneficiaries chosen for assistance based on anthropometric or socioeconomic criteria.
Time Line	Set of planned actions from the beginning to the end of an intervention which also includes the preparatory and post program planning and evaluation.
USAID Regulation 26	“Administration of Assistance Awards for U.S. Non-Governmental Organizations”, available on the USAID website at http://www.info.usaid.gov (click on “Business and Procurement” and then on “USAID Regulations”).
Vulnerability	Propensity of a society to experience substantial damage, disruption and casualties as the result of a hazard.