



**Issuance Date:** April 20, 2021  
**Deadline for Questions:** April 30, 2021 11:59 a.m. (Eastern Standard Time)  
**Closing Date of the Notice of Funding Opportunity:** Open until amended to close  
**Closing Date for First Round of Applications:** June 2, 2021 11:59 a.m. (Eastern Standard Time)  
**CFDA:** 98.001  
**Subject:** Bureau for Humanitarian Assistance (BHA) Annual Program  
Statement (APS) for Humanitarian Capacity and System Strengthening  
**Title:** BHA Global APS for Humanitarian Capacity and System Strengthening

**Funding Opportunity Number:** 720BHA21APS00001

The United States Agency for International Development (USAID) Bureau for Humanitarian Assistance (BHA) is seeking applications for funding from qualified entities to implement programming and activities for Humanitarian Capacity and System Strengthening.

U.S. and non-U.S. nongovernmental organizations (NGOs) may apply. However, public international organizations (PIOs), including UN agencies, are not eligible to apply.

Subject to the availability of funds, under this APS, BHA intends to make up to the number of awards as described in detail in the Program Description of this funding opportunity. Please refer to the Program Description for a complete description of possible activities.

BHA reserves the right to use any assistance mechanism available to this agency (e.g., grant, cooperative agreement) and to adjust the number of awards, funding levels, sources of funding, and/or procedures. The applicant's activity designs inform funding levels, but BHA sets funding levels for successful applicants. BHA will notify successful applicants of any changes or updates, accordingly.

Issuance of this APS does not constitute an award commitment on the part of BHA, nor does it

commit the U.S. Government to pay for any costs incurred in the preparation or submission of comments/suggestions or an application. **Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense. This includes the completion of all required documents for USAID awards.**

BHA cannot make final awards until funds have been fully appropriated, apportioned, allocated, and committed. While BHA anticipates that these procedures will be successfully completed, BHA hereby notifies potential applicants of these requirements and conditions for award.

For the purposes of this award, the APS consists of this cover letter and the following:

[SECTION A: PROGRAM DESCRIPTION](#)

[SECTION B: FEDERAL AWARD INFORMATION](#)

[SECTION C: ELIGIBILITY INFORMATION](#)

[SECTION D: APPLICATION AND SUBMISSION INFORMATION](#)

[SECTION E: APPLICATION REVIEW INFORMATION](#)

[SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION](#)

[SECTION G: FEDERAL AWARDED AGENCY CONTACTS](#)

Eligible parties interested in submitting an application are encouraged to read this APS thoroughly to understand the type of program sought, application submission requirements and selection process.

To be eligible for award, the applicant must provide all information as required in this APS and meet eligibility standards in Section C of this APS. This funding opportunity is posted on [www.grants.gov](http://www.grants.gov), and may be amended. **This APS is open indefinitely and will remain open until an APS amendment is issued to establish a closing date. Applications may be submitted no later than the closing date(s) and time(s) indicated in Section D – Application and Submission Information. BHA may amend this APS to increase the funding available for this APS, add or revise program objectives, or add additional rounds of applications.** BHA will post amendments or addenda to Grants.gov (through which organizations may sign up to receive notifications of changes), and to the BHA website.

It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this APS and to ensure that the APS has been received from the internet in its entirety. BHA bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on [www.grants.gov](http://www.grants.gov) or accessing the APS, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at [support@grants.gov](mailto:support@grants.gov) for technical assistance.

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

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

Per 2 CFR 200 and 2 CFR700, USAID regulations do not award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the agreement activity and which are in accordance with applicable cost standards, may be paid under the agreement. BHA may (a) reject any or all applications, (b) accept applications for reasons other than cost, or (c) accept more than one application (see Section E - Application Review Information). BHA intends to award cooperative agreements but reserves the right to award any other form of assistance agreement. BHA may waive informalities and minor irregularities in applications received.

In the event of any inconsistency between this APS and the documents referenced in the APS, the APS takes precedence over any referenced documents (including the Technical References), **except** statutes and regulations. In the event of an inconsistency in the APS documents or in the text of the APS, it will be resolved at the discretion of the Agreement Officer (AO).

Thank you for your interest in USAID's BHA programs.

Sincerely,

Renee Newton

Agreement Officer

## **SECTION A: PROGRAM DESCRIPTION**

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

USAID’s Bureau for Humanitarian Assistance (BHA) leads and coordinates the U.S. Government’s (USG) international disaster assistance, reaching tens of millions of people around the world. BHA was created in 2020 by merging the expertise and resources of the two USAID offices— the Office of Food for Peace and the Office of U.S. Foreign Disaster Assistance -- each with more than half a century of experience—giving USAID one influential voice on humanitarian assistance. This enables BHA to deliver life-saving aid more efficiently and effectively. BHA is the only USAID Bureau that works toward a more comprehensive approach to humanitarian responses. BHA does this by providing critical humanitarian aid to people in need, while also setting the initial foundations for longer term recovery, where appropriate. BHA responds to an average of 75 disasters in more than 70 countries every year, ensuring that aid reaches people affected by natural disasters, including hurricanes, earthquakes, and volcanoes, as well as protracted crises, such as drought and conflict. BHA also supports food insecure refugees fleeing war, violence, or persecution.

Within BHA, the Office of Global Policy, Partnerships, Programs, and Communication (G3PC) directs the Bureau’s leadership in global humanitarian policy, showcases BHA’s life-saving work through strategic communication and information, and manages collaboration with external stakeholders, including public and private partners, international and multilateral organizations, NGOs and academic institutions, and the U.S. Government Interagency.

### **Program Objectives**

BHA is soliciting applications to support programs that focus on improving policies, practice, and standards in humanitarian response through increased coordination among key stakeholders, technical and policy engagement with relevant global actors, innovative and effective approaches to delivering and financing humanitarian assistance, as well as for thematic and operational issues improving humanitarian response to affected populations. This also includes enhancing humanitarian actors’ ability to respond to humanitarian crises by developing tools and methodologies that contribute to greater understanding of key issues affecting people in crises and humanitarian actors responding to their needs. BHA expects successful applicants to work with BHA and other relevant stakeholders to make new policies, practices, tools, methodologies and innovations available to the wider humanitarian community, where appropriate.

Activities are grouped by objective below. For the first round of applications, BHA will consider applications focused on only one objective. Should an eligible applicant wish to submit an application for more than one objective, the applicant must do so by submitting separate

applications for each objective. (Please refer to Section C.3 Limit on Number of Applications for more information).

### **Objective 1: Humanitarian Coordination, Policy Enhancement and Strengthening International Humanitarian Systems**

- Strengthen the international humanitarian system through enhanced coordination, improved policies, practices and standards, and technical support to system-wide initiatives.
- Develop and improve tools and methodologies, which could include critical data analysis, research, and monitoring.
- Identify and address gaps or problems inhibiting a more coordinated, inclusive, equitable and effective humanitarian response.
- Promote collective action towards shared goals and objectives in humanitarian response, such as increased diversity and inclusion, expanding the partner base, or address other challenges, through research, convening, or creative programming.
- Address other thematic and operational issues to advance the effectiveness of creative approaches to financing humanitarian assistance.
- Contribute to greater understanding of key issues affecting people in crises and humanitarian actors responding to their needs.

Illustrative activities could include but are not limited to:

- Information dissemination and training on best practices, lessons learned and guidance for humanitarian response to expand existing knowledge base on key humanitarian topics and advance collective action toward shared operational, policy or programmatic goals with research, analysis, convening of stakeholders, and programming.
- Monitoring and data collection of internal displacement through evidence-based planning and implementation in countries experiencing internal displacement, which could include a focus on displacement severity, disaggregation of internal displacement data as part of internal displacement profiling, and the publication and dissemination of this work. Engage communities and strengthen local capacity to inform collective solutions to displacement.
- Promote, for example, a systematic implementation of joint and impartial needs assessments in multiple sectors to inform consolidated appeal processes across humanitarian crises in support of the humanitarian program cycle.
- Strengthen the community of practice around innovative finance for crisis affected populations to understand and nurture innovative humanitarian response financing, with the aim to improve the effectiveness and efficiency of humanitarian response.
- Improve humanitarian coordination and the delivery of humanitarian assistance in the context of the humanitarian-development-peace nexus, to address interrelated and cross-cutting issues that challenge humanitarian response, with the exploration of reasonable, cost effective anticipatory action efforts and finance.
- Analyze and improve humanitarian response processes and practices through reforms to the humanitarian system; to address existing and emerging obstacles to the delivery of humanitarian assistance, such as mitigating access constraints and promoting

principled assistance; to identify practicable solutions, including expanding funding sources; and to ultimately improve the conditions and delivery of critical services to people in need.

### **Objective 2: Global Capacity and Leadership Development**

Increase the inclusion and representation of national and local NGOs in the international humanitarian system at the national and global level through increased knowledge, capabilities, leadership capacity and organizational integration. This work should build upon gains already achieved by BHA and others within the international humanitarian system and be coordinated with existing systemic capacity efforts and programming.

Illustrative activities could include but are not limited to:

- Globally-run instructor-led learning and/or training on humanitarian leadership, for local/national NGOs
- Regionally or globally-run programming aimed at increased incorporation of national NGOs into the international system at the country and/or global level such as in the cluster system, the Humanitarian Country Teams and NGO networks.
- Regionally or globally-run programming aimed at improving the international humanitarian systems' ability to include national NGOs in the international humanitarian architecture.
- Regionally or globally-run programming to increase partnerships and/or linkages between International and national NGOs.

### **Objective 3: Humanitarian Innovation**

Enhance the coordination and effectiveness of innovation investments and activities within the humanitarian system in order to ensure humanitarian innovation efforts and investments are additive rather than duplicative and solutions are scalable, and to increase the impact of humanitarian innovation.

Illustrative activities could include but are not limited to:

- Research to support the development of findings and recommendations that assist in testing, implementing, and uptaking priority humanitarian innovation areas.
- Identifying opportunities and strategies that enable more effective coordination and collaboration between international donors and international and national non-governmental organizations as related to humanitarian innovation.
- Determining appropriate humanitarian innovation impact models across various humanitarian sectors, including results frameworks and identifying appropriate metrics of success.
- Developing processes and approaches for better sharing of best practices, innovation investments, and learnings on humanitarian innovation activities.
- Pilot projects that are innovative in nature and leverage humanitarian gains.

- Developing methods and strategies for enhanced collaboration and coordination amongst international donors as related to the research, testing, and piloting of innovation solutions to humanitarian challenges at the program and operational levels.
- Efforts that support the design, development, analysis and / or adoption of mutually beneficial frameworks, operational models, and standards for innovative data and technology solutions in the humanitarian sector.

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

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

Subject to the availability of funds, BHA intends to have more than one round of applications under this APS. BHA intends to award predominantly cooperative agreements, but reserves the right to award any other form of assistance agreement. For the first round of applications, BHA intends to award up to \$31.9 million in total USAID funding for multiple awards, as Cooperative Agreements, for humanitarian capacity and system strengthening. For the first round of applications, BHA anticipates that the total amount of each award will not exceed \$3 million over a two-year period of performance and interested applicants may submit applications for lesser amounts.

Final funding levels will depend on a range of criteria and conditions, including content, quality, number of applications received, needs, and availability of funding. Applicants may be required to revise their budget/project.

Applicants are required to keep costs reasonable in relation to the **scope of their proposed activities**. Issuance of this APS does not constitute an award commitment on the part of the USG, nor does it commit the USG to pay for any costs incurred in the preparation and submission of any application.

BHA may amend this APS to increase the funding available for this APS, add or revise program objectives, and/or add additional rounds of applications. USAID will post amendments or addenda to the BHA website and Grants.gov (through which organizations may sign up to receive notifications of changes).

Unless otherwise specified in an amendment to this APS, applicants who apply for any round of applications under this APS will not be restricted from applying for any future rounds based on their successful or unsuccessful applications for previous rounds.

### **2. Anticipated Start Date and Performance Period**

The anticipated start date of the new awards is September 30, 2021 for the first round of applications. The awards will be issued for a period of performance of up to twenty-four (24) months from the date of award. Anticipated start dates of new awards for any additional rounds of applications will be provided in amendments, as applicable.

### **3. Substantial Involvement**

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

- Approval of the recipient's annual implementation plans as well as monitoring and evaluation plans during performance.
- Ability to immediately halt an activity if the recipient does not meet detailed performance specifications (for example, construction specifications).
- Review and approval of one stage of work, before work can begin on a subsequent stage during the period covered by the cooperative agreement.
- Review and approval of substantive provisions of proposed sub-awards or contracts (see definitions in 2 CFR 200). These would be provisions that go beyond existing policies on Federal review of recipient procurement standards and sole-source procurement.
- Involvement in the selection of key recipient personnel.
- BHA and recipient collaboration or joint participation, such as when the recipient's successful accomplishment of program objectives would benefit from BHA's technical knowledge.
- BHA monitoring to permit specific kinds of direction or redirection of the work because of the interrelationships with other projects or activities.
- Direct BHA operational involvement or participation to ensure compliance with statutory requirements such as civil rights, environmental protection, and provisions for the handicapped that exceeds BHA's role that is normally part of the general statutory requirements understood in advance of the award.
- Highly prescriptive USAID requirements established prior to award that limit the recipient's discretion with respect to the scope of services offered, organizational structure, staffing, mode of operation, and other management processes, coupled with close monitoring or operational involvement during performance over and above the normal exercise of Federal stewardship responsibilities to ensure compliance with these requirements.

For specifics and additional detail, please refer to [ADS 303.3.11](#) - Substantial Involvement and Cooperative Agreements.

#### **4. Authorized Geographic Code**

The anticipated authorized geographic code for procurement of goods and services under the prospective award(s) is 935; USAID reserves the right to modify this.

#### **5. Nature of the Relationship between USAID and the Awardee**



The principal purpose of the relationship with the awardee under the subject award is to transfer funds to accomplish a public purpose of support or stimulation of the activities as described in the APS, which is authorized by federal statute. The successful awardee will be responsible for ensuring the achievement of the award objectives and the efficient and effective administration of the award through the application of sound management practices. The awardee will assume responsibility for administering federal funds in a manner consistent with underlying agreements, award objectives, and the terms and conditions of the federal award.

## **6. Assistance Awards**

BHA may (a) reject any or all applications, (b) accept applications for reasons other than cost, or (c) accept more than one application. BHA intends to award predominantly cooperative agreements, but reserves the right to award any other form of assistance agreement. BHA may waive informalities and minor irregularities in applications received.

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

## **SECTION C: ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

#### **U.S. and Non-U.S. Non-Profit Organizations**

Qualified U.S. and non-U.S. non-profit organizations may apply for funding for an assistance award under this APS. Foreign government-owned parastatal organizations from countries that have certain legal restrictions for receiving assistance under the FAA or related appropriations acts are ineligible.

#### **U.S. and Non-U.S. For-Profit Organizations**

Qualified U.S. and non-U.S. for-profit organizations may apply for funding for an assistance award under this APS. Foreign government-owned parastatal organizations from countries that have certain legal restrictions for receiving assistance under the FAA or related appropriations acts are ineligible.

Potential for-profit applicants should note that, pursuant to 2 CFR 200.400(g) and 2 CFR 700.13, the payment of fee/profit to the prime recipient under grants and cooperative

agreements is prohibited. However, if a prime recipient has a contract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the contractor may be authorized.

### **U.S. and Non-U.S. Colleges and Universities**

Qualified U.S. and non-U.S. colleges and universities may apply for APS funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that have certain legal restrictions for receiving assistance under the FAA or related appropriations acts are ineligible.

### **A U.S. or non-U.S. NGO, including Private Voluntary Organizations (PVOs)**

An NGO is defined by USAID as any non-governmental organization or entity, whether non-profit or profit-making.

### **Other eligibility information**

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

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

### **Non-eligible Applicants:**

Under this APS, BHA will not accept applications from, or provide awards to individuals, parastatal organizations, public international organizations (PIOs) such as U.N. agencies, or other U.S. Government departments and agencies. These organizations are also excluded from being sub-recipients under this APS.

## **2. New Partners and Local Organizations**

BHA encourages submissions from potential new partners (i.e., those who have not received any USAID funding previously) and local organizations.

Awards to potential new partners may be significantly delayed if BHA must undertake necessary pre-award surveys of these organizations in order to determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills in order to achieve the objectives of the program, or whether specific conditions will be needed (see Section D of this APS). These organizations should take this into account and plan their implementation dates and activities accordingly.

### **3. Limit on Number of Applications**

Each eligible applicant - compliant with the unique entity identifier and System for Award Management (SAM) requirements detailed in Section D - is limited to one application per objective for this APS. Eligible applicants can be included as a sub-awardee in multiple applications for the same or different objectives, but the same applicant cannot submit an application as a prime and be included as a sub-awardee in another application for the same objective.

### **4. Qualification Factors**

To qualify for an award(s) resulting from this APS, the applicant must:

- (a) Have a satisfactory history of performance, including a satisfactory record of meeting expected performance goals and managing and executing programs or activities under USG awards if it is a prior Recipient of USG awards (e.g., timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of the awards);
- (b) Have institutional experience in delivering international or national level capacity strengthening programs for humanitarian actors
- (c) Have a satisfactory record of integrity and business ethics;
- (d) Have a Unique Entity Identifier (DUNS) number and is registered in the USG's System for Award Management (SAM) and not have any active exclusions in the SAM (<http://www.sam.gov>) (see Section D.g.)
- (e) Be financially stable and have adequate financial resources (or the ability to obtain such resources) as required during the performance of the award
- (f) Have the necessary management systems and ability to meet required management standards, including the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170, if applicable;
- (g) Have the ability to effectively implement statutory, regulatory, or other requirements imposed on recipients of USG assistance;
- (h) Have the ability to meet the award terms and conditions considering all existing prospective Recipient commitments, both non-governmental and governmental;
- (i) Not be indebted to the USG;

(j) Not appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the [U.S. Treasury for the Office of Foreign Assets Control \(OFAC\)](#);

(k) Not appear on the United Security Council Consolidated Sanctions List (<https://www.un.org/securitycouncil/content/un-sc-consolidated-list>); and

(l) Be otherwise qualified to receive an award under applicable laws and regulations.

## 5. Pre-Award Survey/Risk Assessment

In order to determine whether an applicant qualifies for an award, the USAID Agreement Officer must assess the risks posed by applicants in accordance with the following:

- For U.S. and Non-U.S. NGOs: 2 CFR 200.205 and ADS 303.3.9

A positive risk determination means that the prospective non-Federal entity possesses or has the ability to obtain the necessary management competence to plan and carry-out the assistance program to be funded, and that the prospective non-Federal entity will practice mutually agreed-upon methods of accountability for funds and other assets provided by USAID.

Depending on the result of this risk determination the Agreement Officer may: (a) make the award; (b) not make the award; or (c) make the award with specific conditions.

## 6. Sources of Information

In assessing applicant risk vis-à-vis the qualification factors, the USAID Agreement Officer will utilize:

- Information available through any OMB-designated repositories of USG-wide eligibility qualification or financial integrity information, as appropriate;
- Information available in the U.S. Department of the Treasury's "Do Not Pay" system;
- Information available in SAM;
- Integrity and performance information available through the Federal Awardee Performance and Integrity Information System (FAPIIS);
- Information available in the [U.S. Department of the Treasury Office of Foreign Assets Control \(OFAC\) Specially Designated Nationals \(SDN\) and Blocked Persons List](#);
- Information available in the [United Security Council Consolidated Sanctions List](#) ;
- Reports and findings from audits, including Single Audit information available through the Federal Audit Clearinghouse (<https://harvester.census.gov/facweb/>);
- Information obtained from evaluations and assessments of prior work;
- Information received from references provided in the application (see Section IV.B of this APS), and references other than those provided in the application;
- The applicable statutory and regulatory certifications (see Section IV.B of this APS);
- If requested, copies of: (a) audited financial statements for the last three years; (b) projected budget, cash flow, and organization charts; and (c) copies of applicable

policies and procedures (e.g., accounting, procurement, property management, travel, and personnel);

- Formal pre-award surveys (if applicable); and
- Other information that the USAID Agreement Officer may reasonably request

## **7. Results of Risk Assessment**

As a result of the aforementioned risk assessment, the USAID Agreement Officer may do one of the following:

### **(a) Make an Award**

If a positive risk determination is made, the USAID Agreement Officer would ordinarily be expected to make an award (assuming that mutual agreement can be reached on award terms and conditions and/or any other matter). A positive risk determination means that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry out the assistance program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

### **(b) Not Make an Award**

(1) If a positive determination cannot be made, the USAID Agreement Officer would ordinarily not make an award. If a positive risk determination cannot be made, it means that the applicant does not meet one or more of the qualification factors listed in Section C.5, and that specific conditions (see Section C.8(c) below) cannot appropriately mitigate the effects of the applicant's risk.

(2) In accordance with 2 CFR 200.212, if the USAID Agreement Officer determines that an applicant is not qualified for an award(s) because the applicant does not have a satisfactory record of: (a) executing programs or activities under USG grants, cooperative agreements, or contracts (see Section C.5(a) above); and/or (b) integrity and business ethics (see Section C.5(c) above), USAID must report that determination to the designated integrity and performance system accessible through SAM (currently FAPIIS) if it is the only basis for the USAID Agreement Officer's determination and if the award would have exceeded the simplified acquisition threshold (currently \$150,000, but revised from time to time).

(3) In such cases, USAID will notify the applicant that the determination was made and reported to the designated integrity and performance system accessible through SAM (currently FAPIIS), and include with the notification an explanation of the basis for the determination. The information will be kept in the system for a period of five years from the date of the determination, and then archived. The applicant may go to the awardee integrity and performance portal accessible through SAM and comment on any information the system contains about the applicant itself. If USAID enters information into the designated integrity and performance system accessible through SAM about a determination that an applicant is not

qualified for an award(s) and subsequently learns that any of that information is erroneous, USAID will correct the information in the system within three business days. In addition, if USAID subsequently obtains an update to that information, USAID may amend the information in the system to incorporate the update in a timely way.

(4) In accordance with 2 CFR 200.211, all information posted in the designated integrity and performance system accessible through SAM will be publicly available after a waiting period of 14 calendar days, except for information that is withdrawn by USAID during the 14-calendar day waiting period. However, USAID will not publish any information in the non-public segment of designated integrity and performance system that is exempt from disclosure under the Freedom of Information Act (5 U.S.C 552), or controlled unclassified information pursuant to Executive Order 13556. If the applicant asserts within seven calendar days that some or all of the information made publicly available is covered by a disclosure exemption under the Freedom of Information Act, USAID will remove the posting within seven calendar days of receiving the assertion. Prior to reposting the releasable information, USAID must resolve the issue in accordance with USAID's Freedom of Information Act procedures.

### **c) Make an Award with Specific Conditions**

If the risk assessment of a potential recipient identifies high risks, an award may still be made if the applicant can correct its deficiencies within a reasonable period of time, and if the award includes specific conditions that can appropriately mitigate the effects of the applicant's risk. Such specific conditions are described in 2 CFR 200.207 and ADS 303.3.9.2 or the other applicable regulations and policies cited above. These specific conditions may include items such as:

- Requiring payments as reimbursements rather than advance payments;
- Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given period of performance;
- Requiring additional, more detailed financial reports;
- Requiring additional project monitoring and reporting;
- Requiring the applicant/Recipient to obtain technical or management assistance; and/or
- Establishing additional prior approvals.

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

Applications for this initial round of applications must be submitted via email to BHA.GlobalAPS.HCSS@usaid.gov. Note that emails including all attachments must not exceed 10 megabytes (MB). Please therefore use multiple emails or zip files if needed. The Apparently Successful Applicant(s) will be invited to upload their final application documents to the [BHA Application and Award Management Portal \(AAMP\)](#).

If there are future amendments for additional rounds of applications, BHA may provide specific contact information for questions and applications in the amendment.

## **Application Format**

The application must be specific, complete, and concise. BHA will not consider applications that do not meet the requirements of this APS. The application is divided into the following sections, with the maximum number of pages given per section, excluding the table of contents, but including any endnotes and/or footnotes, as follows:

- Cover page (1 page, see requirements in paragraph a)
- Executive or Application Summary (2 pages maximum, see requirements in paragraph b)
- Technical Application (15 pages maximum, see requirements in paragraph c)
- Cost Application (no page limit, see requirements in paragraph d)

If submissions exceed the page number maximum, BHA will only review the pages up to the limit, and pages exceeding the maximum will not be considered.

### **a) Cover Page (1 page)**

The cover page must include:

- Name of the organization applying;
- Name and title of the organization's representative who has signatory authority and authority to submit the application;
- Name, title, and contact information of the organization's point of contact with whom BHA will coordinate on matters related to the application (if different from the organization's representative with signatory authority and authority to submit the application). Contact information must include mailing address, email, and telephone number;
- Total funds requested (in U.S. dollars)
- Valid Dun and Bradstreet Universal Numbering System (DUNS) Number;
- Activation date in System for Award Management (SAM) – note that successful applicants must maintain SAM registration;

### **b) Executive Summary (2 pages maximum)**

The Executive Summary must include an application summary of approximately two pages.

### **c) Technical Application (15 pages maximum)**

The technical application will be the critical item of consideration in the selection of an applicant(s) for an award(s). The information provided in the technical application must be specific, complete, and presented concisely. The technical application must demonstrate how it contributes to achieving the selected objective, including specific results anticipated. The weightings in the merit review criteria set forth in Section E of this APS indicate

the relative order of importance of the merit review criteria, so that applicants will know which areas require emphasis in the preparation of the technical application. Applicants are advised that lack of completeness or superficiality of the application may constitute grounds for excluding it from consideration.

It is anticipated that the successful application(s) (as may be revised) will become the Program Descriptions for the award(s) resulting from this APS. Thus, applications submitted in response to this APS should, in addition to being responsive hereto, be written clearly and in results-oriented terms in order to address what is proposed to be done, why it is proposed to be done, how it is proposed to be done, who will do it, where it will be done, when it will be done, and the anticipated results and impact.

The technical application must have a definitive strategy and plan, and must set forth in detail the applicant's approach, methodology, procedures, and techniques for the design, management, implementation, and monitoring of the proposed program. The application must also demonstrate the applicant's capabilities and expertise to successfully implement, manage, and monitor the proposed program. It is important that the technical application furnish verifiable, objective supporting evidence of successful program management, implementation, and monitoring. The technical application should be specific, detailed, and include appropriate benchmarks or milestones.

The technical application must provide the following information:

- The technical application must use the sectors, sub-sectors, keywords, and indicators identified in the [BHA Application Guidelines](#), as applicable. Unless otherwise indicated, a page in the technical application which contains a table, chart, graph, etc. will be counted as a page within the page limitation. Information which exceeds the page limitation will not be furnished to the BHA Selection Committee (SC).
- **Justification for Proposed Intervention(s):** The technical application must include a Justification for Intervention section that addresses the relevant objective in Section A.
- **Technical Approach, Timeline, and Feasibility:** Describe how proposed activities address needs outlined in the justification for proposed intervention(s) section above and the selected BHA objective outlined in Section A of this APS. Describe in detail the technical approach, including methods used to implement proposed activities. This section should include methodologies, processes, or steps you will undertake to implement each proposed activity within the timeframes outlined in this APS. You may include timelines, charts, or other graphics for illustrative purposes. Proposed activities must fall under one or more of the sectors listed in the Sectors, Sub-sectors, and Indicators Table in the [BHA Application Guidelines](#). Applicants must review the relevant sector guidance in its entirety and address all questions and information requirements in the sector guidance.



- **Institutional Experience and Capability:** The technical application must include an Institutional Experience and Capability section that addresses the following information.
- **Capability and Competence:** Applicants must describe their capability and competence to undertake the proposed activities in the Program Description, outlining their contextual and geographic knowledge, capabilities and competencies [relevant to the chosen objectives]. The information presenting the capabilities of the implementing organization(s) and of the individuals to be assigned should spell-out clearly the pertinent work experience and accomplishments in developing and conducting activities of the type being proposed, as well as the specialized skills, professional competence, academic training, and relevant achievements of the personnel. The contextual knowledge description should include the applicant's previous experience implementing programs in the proposed country(ies) and a discussion of political, economic, cultural, and institutional norms in the proposed country(ies) of intervention.
- **Coordination:** Technical applications must include a Coordination section that describes as part of the project design and implementation of activities how you will coordinate, share information, and collaborate with UN agencies, other NGOs, other USG agencies, other donors, local groups, and local and national government agencies for the proposed sector(s). List other governmental or non-governmental institutions, international organizations, and/or NGOs working in the same sector, especially those in proximity of the proposed activities. Describe the coordination approach for this sector with these entities, including the frequency of meetings, how problems are identified and addressed, how information is gathered and disseminated, and how standards are set and monitored, among others.
- **Selection Methodology:** Clearly identify the target population in terms of number, location, and current status and describe the methodology for selecting the targeted population(s).
- **Gender Mainstreaming, Protection Mainstreaming, and Inclusion of Older People and People with Disabilities:** Applications must adhere to BHA's mandatory cross-sectoral guidance on protection mainstreaming, gender integration, inclusion of persons with disabilities and older people. This includes a description of the risks for harm, exploitation, and abuse faced by the affected population; analysis of the roles and power dynamics between men and women, boys, and girls and demonstration of how this relates to humanitarian needs and program design in the proposed setting; and inclusion of persons with disabilities and older people.
- **Sustainability:** Technical applications must include a Sustainability Plan and Transition or Exit Strategy section that describes how program activities will be sustained beyond the life of the program. This includes how resources might be obtained to continue the activity or program, if appropriate (e.g., cost-recovery mechanisms, discussions with

development partners, etc.) and/or how activities will be turned over to host nations or community members. Sustainability planning should address the transition to local organizations or authorities and highlight the importance of consulting community members and government officials in a participatory approach.

- **Supporting Documentation:** The following documents are to be submitted in an annex and will not count towards the page limits listed for the technical application. No additional documents outside of the items listed below should be submitted nor will be reviewed by BHA.

**(A) Monitoring and Evaluation Plan – Not to Exceed Five Pages**

Applicants must include a Monitoring and Evaluation Plan as an Annex to the application as outlined below. The M&E Plan shall describe the technical resources and expertise that the applicant will utilize in implementing the proposed approach and how these resources will be organized to deliver the desired outcomes. Applicants must demonstrate the ability to adequately monitor and evaluate the activities throughout the duration of the award. Applications shall include appropriate output, outcome and impact indicators for proposed activities where feasible and describe the methods, and how any data generated will be shared. Applicants should propose methods to verify monitoring data on BHA indicators

The M&E plan consists of two required components:

1. Indicator Tracking Table – No page limitation (Please see template on the [BHA Emergency Application Guidelines page](#))
2. Monitoring Narrative. The M&E Plan monitoring narrative is composed of the following:
  - Monitoring Approach, including an Abbreviated Statement of Work (SOW) for baseline and endline, as applicable; and
  - Evaluation Approach, including abbreviated SOW, as applicable.

**(B) Adaptive Management Plan - Not to Exceed Two Pages**

Applications for activities for 12 months or more must submit an Adaptive Management Plan that embeds analysis and adaptive management principles into program management. The plan should describe the technical resources and expertise the applicant will utilize in management interventions designed to:

- Support feedback cycles that foster experiential learning and application of data from assessments, surveys, research, and routine monitoring.

- Actively engage stakeholders through participatory approaches to determine needs and opportunities, respond to demand, and prioritize action;
- Engage in reflection activities to capture and apply lessons learned from ongoing work, and anticipate potential changes in the operating environment.

**(C) Draft Work Plan – Not to Exceed Five Pages**

The Applicant must include a draft implementation/work plan for the program, including key tasks and deliverables required in the Program Description and clearly detail timing for deliverables. This plan will be finalized upon implementation of the Award.

**(D) Organizational Structure – Not to Exceed Three Pages**

The technical application must also explain how the applicant's headquarters and field office(s) are organized, and how this structure is coordinated to achieve performance targets.

**(E) Code of Conduct**

The mandatory standard provisions "Regulations Governing Employees" in **ADS 303maa, Standard Provisions for U.S. Nongovernmental Organizations** and "Recipient and Employee Conduct" in **ADS 303mab, Standard Provisions for Non- U.S. Nongovernmental Organizations**, require that recipients meet internal control requirements and have a code of conduct for their employees. USAID implementing partners must ensure that their employees conduct themselves in a professional manner when carrying out awards, consistent with the standards for United Nations (U.N.) employees in Section 3 of the **U.N. Secretary General's Bulletin - Special Measures for Protection from Sexual Exploitation and Sexual Abuse**.

You must submit a copy of your organization's Code of Conduct, ideally with a dedicated section on PSEA or PSEA Policy, as an annex. Additionally, sub-awardees receiving BHA funds must adopt a Code of Conduct. Awardees will be responsible for ensuring that sub-awardees have a Code of Conduct.

In the event that an implementing partner employee's conduct is not consistent with these standards, our partners must consult/coordinate with the relevant Mission Director and the Agreement or Contracting Officer. The U.S. Ambassador may direct the removal of any U.S. citizen from the country and require termination of any employee from an award.

USAID further encourages implementing partners to report credible allegations of sexual exploitation and abuse to the USAID Office of Inspector General. Please see USAID's [Policy on Protection from Sexual Exploitation and Abuse](#) for more information about USAID's approach to this issue.

Implementing partners are required to report credible allegations of trafficking, the procurement of commercial sex acts, or the use of forced labor to the relevant Agreement or Contracting Officer and the USAID Office of Inspector General.

USAID policy requires its employees to report suspected cases of sexual exploitation, whether by Agency personnel or implementing partners, to the USAID Office of Inspector General.

Complaints can be submitted anonymously with an online form through the **Office of Inspector General Hotline website**, by telephone at 1-800-230-6539 or 202-712-1023, by email at [ig.hotline@usaid.gov](mailto:ig.hotline@usaid.gov), by fax at (202) 216-3801, or by mail to the following address: U.S. Agency for International Development, Office of Inspector General, P.O. Box 657, Washington, DC 20044-0657

USAID has zero tolerance for sexual misconduct, including harassment, exploitation or abuse of any kind among staff or implementing partners. Additional information can be found at [USAID's Fact Sheet: Preventing Sexual Exploitation and Abuse](#).

#### **PSEA Code of Conduct Implementation Details**

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

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

#### **Accountability to Affected Populations**

Accountability to Affected Populations (AAP) involves placing targeted communities, especially the most vulnerable individuals, at the center of our work. BHA requires evidence that you are addressing AAP throughout the program cycle by submitting an AAP plan or framework that is specific to the interventions included in the application.

You must submit the plan or framework as an annex, not to exceed two pages, and describe:

- How the targeted population, including marginalized or vulnerable groups, will participate in and play an active role in decisions related to the activity design and implementation;
- What specific mechanisms are in place to provide timely and accessible information, and to receive and respond to beneficiary feedback throughout the duration of the activity;
- How you will track feedback and respond in a timely manner;
- How you will incorporate beneficiary feedback into activity implementation, monitoring and evaluation of progress, and designing course corrections as needed;
- How you will ensure that feedback and information mechanisms are safe, accessible, and the preferred mechanism for beneficiaries, especially marginalized or vulnerable populations; and
- How you will ensure confidentiality and respond to any critical or sensitive program irregularity or protection issues that arise.

#### **(d) Risk Assessment and Management Plan**

The Bureau for Humanitarian Assistance (BHA) recognizes the importance of assessing risk and integrating risk management into all awards, beginning at the application phase with your activity design and budget. Every application request under this APS must include a Risk Assessment and Management Plan per Annex D of the Emergency Applications Guidelines.

#### **(e) Cost Application**

The cost application must be submitted separately from the technical application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The cost application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

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

- a) Cover Page** (See Section D.a) above for requirements)
- b) SF 424 Form(s)**

The applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at [www.grants.gov](http://www.grants.gov) or using the following links:

<b>Instructions for SF-424</b>	<a href="https://www.grants.gov/web/grants/forms.html">https://www.grants.gov/web/grants/forms.html</a>
<b>Application for Federal Assistance (SF-424)</b>	<a href="https://www.grants.gov/web/grants/forms.html">https://www.grants.gov/web/grants/forms.html</a>
<b>Instructions for SF-424A</b>	<a href="https://www.grants.gov/web/grants/forms.html">https://www.grants.gov/web/grants/forms.html</a>
<b>Budget Information (SF-424A)</b>	<a href="https://www.grants.gov/web/grants/forms.html">https://www.grants.gov/web/grants/forms.html</a>
<b>Instructions for SF-424B</b>	<a href="https://www.grants.gov/web/grants/forms.html">https://www.grants.gov/web/grants/forms.html</a>
<b>Assurances (SF-424B)</b>	<a href="https://www.grants.gov/web/grants/forms.html">https://www.grants.gov/web/grants/forms.html</a>

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

### **c) Required Pre-Award Certifications, Assurances, and Other Statements**

Successful applicants must provide:

- (1) A signed copy of [Certifications, Assurances, Representations, and Other Statements of the Recipient and Solicitation Standard Provisions](#) as described in ADS 303.3.8 on the USAID website in response to the issues letter.
- (2) Assurances for Non-Construction Programs (SF-424B)
- (3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

#### d) Budget and Budget Narrative

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

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

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out **by major budget category, BHA Sector, and by year** for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See link above to form SF-424A
- Detailed Budget, including a breakdown by BHA Sector and by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding and cost share, broken out by budget category and by year, for the entire implementation period of the project.

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

- 1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.
- 2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must

propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

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

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

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

6) Construction – If applicable

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

8) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only

*Eligibility: Any applicant*

Initial Application Requirements: See above on direct costs



Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)

*Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA*

Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See [USAID's Indirect Cost Rate Guide for Non Profit Organizations](#) for further guidance.

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)

*Eligibility: In accordance with 2 CFR 200.414, eligible applicants may choose to apply a 10 percent de minimis indirect cost rate.*

Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200 for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount

*Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO*

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year
- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the

applicant's requested method.

If no approved federally recognized indirect cost rate negotiated between the subrecipient and the Federal Government exists, the pass-through entity must determine the appropriate rate in collaboration with the subrecipient in accordance with 2 CFR 200.332.

9) Cost Sharing – Cost share is not required. However, if an applicant proposes cost share and receives an award, cost share will be incorporated into the award budget. (Note that since cost share is not required, in accordance with 2 CFR 200.306, it will not be used as a separate factor during the merit review of applications. Note that 22 CFR 216 safety protocols for pesticide Restricted Commodities apply to private cost shares)). Cost share will not be considered in the merit review since cost share is not required.

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

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

**f) Approval of Subawards**

The applicant must submit information for all subawards that it wishes to have approved at the time of award. Subawards not included in the original application may only be added later with the prior approval of the Agreement Officer. For each proposed subaward the applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not appear on the [United Security Council Consolidated Sanctions List](#)
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

### **g) Unique Identifier and SAM Requirements**

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

1. Provide a valid DUNS number for the applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (<https://beta.sam.gov/>).
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

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

DUNS number: <http://fedgov.dnb.com/webform>

SAM registration: <https://beta.sam.gov/>

Non-U.S. applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on <https://beta.sam.gov/>, navigate to Help, then to International Registrants.

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

Apparently Successful Applicants will submit past performance documentation. Only Apparently Successful Applicants will upload the completed Section A of this questionnaire to the [AAMP website](#). A successful applicant's history of performance is part of the pre-award risk assessment. The remaining sections will be completed by USAID.

The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs, not to exceed ten years or three relevant awards, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;

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

If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

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

In accordance with 2 CFR 700.1, "branding" means how the program, project, or activity is named and positioned, as well as how it is promoted and communicated to beneficiaries and cooperating country citizens and "marking" means the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. If applicable, applicants must specify any costs associated with these requirements, showing the unit cost and units purchased. USAID branding guidelines can be found on the [USAID Website](#).

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

For special considerations and information pertaining to ineligible and restricted goods, services, and countries, please see the USAID Automated Directives System (ADS) [Major Functional Series 300: Acquisition and Assistance, Chapter 312 - Eligibility of Commodities](#). It is the legal responsibility of USAID awardees to ensure compliance with all U.S. laws and regulations, including those that prohibit transactions with, and the provision of resources and support to, sanctioned individuals, groups, and organizations.

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

#### **k) Audits**

The applicant must specify any costs associated with the required "Single audit," as defined at 2 CFR 200.501(b), for a non-federal entity that expends \$750,000 or more during the non-federal entity's fiscal year in federal awards.

## I) Construction

Per the USAID-wide policy set out in USAID ADS 303.3.30, construction activities may only be carried out under cooperative agreements if they meet certain criteria, absent a case-by-case waiver. To meet ADS 303 requirements, applicants must clearly describe the proposed scope and types of construction activities within the technical narrative, and include an explicit construction section within their budget and budget narrative.

BHA recognizes that the scope, costs, and locations of construction activities may not be known at the initial application stage. In these cases, applicants must provide best estimates of costs within their budget, justification for these estimates within the budget narrative, and an explicit plan in their technical narrative for conducting feasibility assessments, alternative assessments, and/or community visioning processes to determine the type and scope of construction and explicit implementation plans that will be developed during the refinement year. Applicants that propose construction must describe plans for how sustainability of infrastructure operations and maintenance will be achieved.

Applicants proposing construction activities do not need to provide explicit implementation plans at the initial application stage. During the 'refinement' period, the Awardee must submit explicit, site-specific implementation plans before construction will be authorized.

Implementation plans will include:

- (1) A description of proposed, site-specific construction activities, including the type and scope and summary of potential risks;
- (2) The estimated cost of construction activities at each site;
- (3) The total estimated cost of construction activities under the award;
- (4) Geographic location of proposed construction site(s) (either as GPS coordinates or at the village level);
- (5) A clear strategy to provide quality assurance and quality control (QA/QC) of the proposed infrastructure, and to ensure worker and participant safety, including both technical staffing and planning; and
- (6) A plan for operations and maintenance (O&M) of the investment, focusing on linkages to local systems for sustainability.

BHA will not fund construction activities proposed on contested lands.

For the purpose of this policy, the term "construction" includes "construction, alteration, rehabilitation, or repair (including dredging and excavation) of buildings, structures, or other real property," including any infrastructure built or rehabilitated via conditional food assistance activities (e.g. cash-for-assets, food-for-assets). And a "single activity site" is "a single undertaking of construction within a contiguous geographic location." Examples in the Agency's publicly available policy guidance include a road, a building, a water harvesting structure, a drinking water point or system, a power plant, a school, a clinic, and/or any continuous multiples of the same. For more information, see ADS 303maw, [USAID Implementation of Construction Activities: A Mandatory Reference for ADS Chapter 303](#).

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

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.4 of this APS and must meet the source and nationality requirements set forth in 22 CFR 228.

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

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

Personal Conflict of Interest

1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.
2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

Organizational Conflict of Interest

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

**n. Submission Date and Time**

This APS is open indefinitely and will remain open until an APS amendment is issued to

establish a closing date. The application submission deadline for the first round of applications is June 2, 2021, at 11:59 a.m. EST. The applicant is responsible for ensuring that the electronic application is received by the due date and time specified.

BHA may amend this APS to increase the funding available for this APS, add or revise program objectives, and/or add additional rounds of applications. USAID will post amendments or addenda to Grants.gov (through which organizations may sign up to receive notifications of changes), and to the BHA website.

To be considered for a round of applications under this APS, an applicant must submit an application for that specific round of applications. A round of applications may be cancelled at BHA's discretion.

#### **o. Other Submission Requirements**

Note: Pre-award contact with any other U.S. Government personnel or BHA's institutional support contractors by an applicant which involves a proposed or submitted application in response to this APS may result in disqualification of the application. All documents must be completed in accordance with the format detailed in this APS and must adhere to the following:

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

If any of the necessary documents listed in the APS are not submitted according to the format and/or deadline referenced in the APS, BHA will consider the application incomplete. Late or incomplete applications will be considered at BHA's discretion.

Please note that any applications submitted after the closing time will be automatically marked as inactive. The applicant may be required to submit certain documents in order for the AO to make a determination of financial responsibility. Applicants may be required to submit any additional evidence of responsibility, as requested, to support the determination, such as:

- Adequate financial resources or the ability to obtain such resources as required during the performance of the award;
- Adequate management and personnel resources and systems;

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

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

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

### **Criteria**

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the Technical Application Format. The Technical Application will be scored by a Selection Committee (SC) using the criteria described in this section.

The merit review (technical evaluation) criteria presented below, and the relative importance of each criterion, have been tailored to the requirements of this particular APS. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications (also see Section D (c) above); and (b) set the standard against which all applications will be evaluated.

Applications will be reviewed by BHA in accordance with the merit review criteria for the applications listed below (listed in descending order of importance where the Program Strategy and Approach is the most important factor). The sub-factors listed under each criterion below are intended to further explain the relevance of the evaluation factor and will not be scored individually. Award(s) will be made to organization(s) whose application(s) offer the best value to USAID.

### **(a) Technical Merit Review**

In the Technical Description, applicants should clearly identify and spell out their technical approach designed for the one chosen objective from Section A above. Applicant submissions must select one objective for their submission which is clearly identified. Applicants interested in submitting for more than one objective will need to submit a separate application for each objective. Applicants should carefully describe their Technical Approach that is consistent with the identified APS objective, and provide sufficient level of detail to evaluate the coherence of program activities as well as the proposed indicators. Applicants should also provide an impact-measuring M&E Plan.



BHA will conduct a technical merit review in accordance with the following criteria.

**Criteria 1: Technical Merits of the Application - Most Important**

The merit review will consider the extent to which the technical application:

- Activities are consistent with Section A of this APS.
- Ability to prepare, plan and implement activities identified in the applicant's proposed program description.
- Provides sufficient detail for the concrete understanding of methods to be used and technical appropriateness that addresses their chosen APS Objective.
- Appropriateness and technical soundness of proposed methods and activities to addressing needs and the objectives of the APS within the proposed timeframe, including clear and logically presented activities, outputs, outcomes, and result targets with implementation/work plan.
- Demonstrated level of innovation and creativity in the program design and implementation.
- Gender and protection analysis, mainstreaming and integration are clearly addressed throughout the Program Strategy and Approach.
- Demonstrated ability to provide oversight and technical assistance to relevant partners under the program.
- Proposed management plan for reasonableness, feasibility, and potential to fulfill technical, coordination, and communications requirements between applicant, partners, relevant USG agencies and any possible sub-awardees for the core and sub-award components.
- Strength and realism of a rigorous monitoring, evaluation, accountability and learning (MEAL) system and plan, to measure outcome, output, results and impact of the program.

**Criteria 2: Justification for Proposed Intervention(s) - Second Most Important**

Applications should clearly demonstrate identified needs and vulnerabilities and propose appropriate, feasible responses. Clearly link the way the proposed activities mitigate or address identified needs. The applications will be evaluated based on the justification provided for the proposed program in terms of each of the evaluation criterion below:

- Identified and quantified need(s) based on credible information such as assessments or surveys using sound methodology, and the appropriateness of proposed intervention(s) to meeting those needs.
- The extent to which activities target identified needs and fill gaps in current humanitarian programs.

**Criteria 3: Institutional Capability - Third Most Important**

Applications should provide a brief overview of how the applicant has learned to program under the identified objective in the APS. As such, applicants should show adjustments made from experience and highlight areas of competence. Applicants will also be evaluated based on their institutional capability and experience, specifically:

- The applicant's capability and competence in the identified objective activities being

proposed, specifically in terms of the applicant's previous experience in the activities proposed in the program description.

- Demonstrated relevant experience, technical expertise and record in managing awards (U.S. and/or other donors) successfully to achieve results on similar programs through history of performance record, including objective-related expertise that demonstrate your organization's success in implementing similar programs, as well as relationships with U.S. and host government authorities and target stakeholders and populations (see the [BHA Emergency Application Guidelines](#))

#### **Criteria 4: Coordination - Fourth Most Important**

The appropriateness and feasibility of the applicant's coordination approach. Applications will be evaluated based on the breadth and relevance of institutions, organizations, and NGOs listed and the appropriateness of the proposed coordination approach to the implementation and anticipated results of the proposed activities/program strategy and approach. An overview of how the proposed interventions will deconflict with other relevant humanitarian initiatives (planned or ongoing), including current BHA programs in this area. (e.g. those of the applicant and other partners/donors).

#### **(b) Cost Evaluation (Cost effectiveness and Realism)**

Proposed costs are not a scored competitive factor, but will be evaluated for general reasonableness, effectiveness, realism, fairness, necessity, allowability, and allocability of proposed interventions. Per Section C.3 of this APS, applicants are not required to provide counterpart or cost-sharing (matching) contributions as a condition of eligibility.

- Cost-effectiveness and realism of proposed interventions and whether they achieve the identified objective activities.
- Fraud prevention mechanisms and accountability.

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

#### **1. Federal Award Notices**

The notice of award signed by the AO is the authorizing document, which USAID will provide electronically to the point of contact identified in the application of a successful applicant. Award of the agreement(s) contemplated by this APS cannot be made until funds have been appropriated, apportioned, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

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

Unless otherwise noted, all sections of the APS are applicable to all amendments of this APS.

BHA assumes no liability for reimbursing applicants for any costs that may be incurred in the preparation and submission of applications. BHA reserves the right to issue additional solicitations and/or make awards outside of this APS in order to meet the objectives of the U.S. Government.

Awards will be made and administered in accordance with applicable laws and regulations, the FAA, USAID regulations, policies, procedures, and any actual award provisions, including USAID's standard provisions (for U.S. Nongovernmental Organizations, Non-U.S. Nongovernmental Organizations, or Public International Organizations). The awards will be administered in accordance with 22 CFR Part 216, 2 CFR Part 200, 2 CFR Part 700, and ADS 303 .

### **3. Reporting Requirements**

Successful applicants will find specific award administration information and reporting requirements in signed award documents.

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

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

1. Any questions concerning the first round of applications for this APS, its appendices, Technical References, must be submitted in writing by April 30, 2021 to [BHA.GlobalAPS.HCSS@usaid.gov](mailto:BHA.GlobalAPS.HCSS@usaid.gov) . If there are future amendments for additional rounds of applications, BHA may provide specific contact information for questions and applications in the amendment.
2. Acquisition and Assistance Ombudsman

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID's acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID. Please visit this page for additional information: <https://www.usaid.gov/work-usaid/acquisition-assistance-ombudsman>

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