Issue Date: April 26, 2022

Deadline for Questions: May 6, 2022
Closing Date of the Notice of Funding Opportunity: Open until amended to close
Closing Date for First Round of Applications: June 7, 2022 11:59 a.m. (Eastern Standard Time)
CFDA: 98.001

Subject: Bureau for Humanitarian Assistance (BHA) Global Annual Program Statement (APS) for Transforming the International Humanitarian Data Ecosystem

Title: BHA Global APS for Transforming the International Humanitarian Data Ecosystem

Notice of Funding Opportunity Number: 720BHA22APS00001

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 Transforming the Humanitarian Data Ecosystem.
U.S. and non-U.S. non-governmental organizations (NGOs) and public international organizations (PIOs), including UN agencies may 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 based on the merit review criteria described in this APS subject to a risk assessment. Please refer to the Program Description for a complete description of possible activities. 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, 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 must be submitted no later than the closing date(s) and time(s) indicated in Section D – Application and Submission Information. Subject to the availability of funds, 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 may 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 Grants.gov and the BHA 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. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on

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 for technical assistance.

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

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.

Please send any questions to the point(s) of contact identified in Section D. 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.

Issuance of this APS does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. **Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense. This includes the completion of all required documents for USAID awards.**

The APS includes the following sections:

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 AWARDING AGENCY CONTACTS
SECTION H – OTHER INFORMATION

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.

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, *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 programs.

Sincerely,

/S/

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, and the additional requirements found in Section F.

The Bureau for Humanitarian Assistance (BHA) was created in 2020 by merging the expertise and resources of two USAID offices, the Office of Food for Peace and the Office of U.S. Foreign Disaster Assistance, giving USAID one influential voice on humanitarian assistance. BHA's mission is to save lives, alleviate human suffering, and reduce the physical, social and economic impact of rapid and slow-onset disasters by supporting at-risk populations to build stable foundations for their journey to self-reliance. BHA is fully committed to implementing USAID's mandate as the lead U.S. Government coordinator for international disaster response.

The Office of Technical Program Quality (TPQ) leads BHA's efforts to ensure high quality programmatic and technical leadership, oversight, and guidance. TPQ captures, applies, and strengthens capacity in technical best practices and contextually appropriate programmatic approaches focused on all dimensions of BHA programming from humanitarian response and transition into longer-term resilience programming, as well as risk analysis and early warning.

Within TPQ, the Risk Analysis Division (RAD) supports decision-making in humanitarian response, early recovery, risk reduction, and resilience programming through the provision of data, analysis, early warning, and technical assistance. RAD expertise spans food security, disaster risk reduction, livelihoods, natural hazards, climate change, data analytics, assessment, technology, information management, and shelter and settlements. RAD is the BHA technical lead for the Humanitarian Coordination, Information Management, and Assessments (HCIMA) sector.

The Gap

Though the broader humanitarian community invests resources to support data collection and analysis, gaps remain in the infrastructure, skills, tools, policies, standards, and capacities needed to answer basic questions about current and future humanitarian needs. There are a limited number of data collection and analysis professionals globally. This means that the human resources supply cannot meet the demand for these roles and services. When data analysis capacity exists, decision-makers may not have the skills to use the information and few humanitarian organizations have successfully fostered a data culture. Humanitarian actors still struggle to determine the number of people in need of emergency humanitarian assistance, the severity of needs, and to predict the scale and scope of future needs. In some contexts, an increasing amount of data is collected, but there are challenges with interoperability and sharing, and a lack of common standards, such as the Sphere standards for other humanitarian sectors, which impacts quality, reliability, and data security. New tools and technologies, such as artificial intelligence, machine learning, and predictive analytics are still nascent in the humanitarian space.

The humanitarian community is struggling to keep pace with the rapid advances in data and analytics in other industries spurred by the digital revolution. These gaps, and many others, contribute to inefficiencies in humanitarian operations and create an opportunity for better decision support and planning.

BHA's Vision

Humanitarians require high-quality, real-time, diagnostic and predictive analysis that fosters understanding of needs and prioritization of assistance in often rapidly changing and resource and access constrained environments. Strengthening the humanitarian data ecosystem will give BHA and other actors the tools to respond to complex crises, and address priority issues such as protection challenges; the effects of climate change; diversity, equity, and inclusion; and strengthening early warning systems. To achieve this, the gaps described above and others must be addressed.

BHA's vision for the humanitarian data ecosystem involves having the people, process, and technology to support a strongly coordinated, well-informed humanitarian community that leads responses driven by timely and accurate information. For example, development of the humanitarian workforce to have the capacity to use data is needed, as well as the availability of services that provide surge and on-demand support. Within the current humanitarian architecture, coordination structures and conceptual frameworks need to be strengthened so that actors have a common approach to situational awareness, anticipatory action, and response so that assistance is mobilized in an efficient and effective manner. Key to accessing and analyzing robust data sets in real-time is the development of accessible data standards and the harnessing of new tools and technologies for strengthening the collective work of the humanitarian community.

Program Objectives

BHA is soliciting applications to support programs that strengthen the entire humanitarian data ecosystem. The humanitarian data ecosystem encompasses three pillars — the People, the Process, and the Technology. According to the People, Process, Technology framework, "People do the work. Processes make this work more efficient. Technology helps people do their tasks and also helps automate the processes."[1]

BHA will make transformative investments to advance and strengthen the humanitarian data ecosystem. Investments will address critical gaps across the three pillars of People, Process, and Technology through multiple programming rounds.
This APS program objectives section is structured as follows:
- Pillars: Three pillars (People, Process, and Technology) describe the general components that objectives and sub-objectives support. This round of the APS includes two of the

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[1] Plutora, "People, Process, Technology: The PPT Framework, Explained." https://www.plutora.com/blog/people-process-technology-ppt-framework-explained Last updated on November 12, 2020.

three pillars (People, Technology). Subject to the availability of funds, future rounds of the APS may include the remaining pillar (Process).
- Objectives: Objectives describe the ideal state that activities proposed under the sub-objectives should achieve. This first round of the APS includes two objectives: one objective under Pillar 1: People, and one objective under Pillar 3: Technology. Subject to the availability of funds, further objectives may be included in future rounds.
- Sub-objectives: Sub-objectives have a specific, detailed focus that seek to achieve the objective. This round of the APS includes four sub-objectives: three under the objective under Pillar 1, and one under the objective under Pillar 3. Subject to the availability of funds, further sub-objectives may be included in future rounds.

The first round of applications will focus on Pillar 1: People, Objective 1.1: Humanitarian workforce development, and Pillar 3: Technology, Objective 3.1: Data Technology Standards described below. Subject to the availability of funds, future rounds of applications under this Annual Program Statement (APS) may address Pillar 2 and additional objectives and sub-objectives under Pillar 1 and 3. Due to the available funding and the urgency of addressing objectives under Pillar 1 and 3 during this fiscal year, BHA has selected these pillars for prioritization under this round of the APS. BHA has introduced Pillar 2: Process in this round of the APS for applicant awareness only and to provide transparency around the overall programming strategy. While Pillar 2 is not available for programming in this round, it is intended that sharing the overall vision will promote cohesive programming.

Applications for the first round, must either be for:
- **One objective**:
  - Objective 1.1: Humanitarian workforce development (under Pillar 1: People); **or**
  - Objective 3.1: Data technology standards (under Pillar 3: Technology)
- **Or both objectives**:Objective 1.1: Humanitarian workforce development (under Pillar 1: People) **and** Objective 3.1: Data technology standards (under Pillar 3: Technology,) in the same application i.e., submitted through one application and not two separate applications.

If an Applicant applies for both objectives, they must submit their application through one application and NOT two separate applications. An applicant that applies as the Prime applicant for both objectives may only submit or be part of one application during the first round of applications. If an applicant is submitting an application as a Prime for one objective only, it may only apply for the other objective through another application as a sub-awardee.

Applicants should review each objective to determine the best geographic approach and focus for their application.

Applicants are expected to submit applications that target humanitarian data ecosystem stakeholders, including international and national non-governmental organizations, public international organizations, host government entities, and companies that are engaged in humanitarian response, with a focus on integrating diverse minority groups that are not typically

represented in the sector (gender, nationality, ability, etc.). Applicants are expected to detail how they will achieve the selected objectives, which describe the ideal state of the humanitarian data ecosystem components. BHA intends that the results of this APS will be shared and published widely, and serve as a common good for the benefit of the entire humanitarian community. **The illustrative activities are provided as examples only and are not an exhaustive list: BHA welcomes creativity and new ideas to address the challenges outlined. The listing of illustrative activities under each objective does not represent the only activities BHA will support or activities that BHA will necessarily support; it is intended only to help guide or inform applicants**

Pillar 1: People

The pillar of 'people' refers to the presence and capacity of humanitarian staff to use data, including those in specialized data roles such as data scientists, others in general programmatic or sectoral functions, and decision makers in leadership roles. This pillar also includes services that are provided by entities to support humanitarian staff to access and use information products. The capacity of the humanitarian workforce and entities that provide data services are a critical component of the humanitarian data ecosystem.

The objectives below describe the ideal state of each pillar. Applicants are expected to apply to one or more of the objectives described below if there is interest in supporting the work in this pillar. Subject to the availability of funds, future amendments to this APS may include additional objectives under this pillar.

Objective 1.1: Humanitarian workforce development - The humanitarian workforce should have the data literacy skills, analysis capacity, and data-attuned culture to appropriately use data to make decisions about programming and resource allocation. This includes having specialized functions and general staff that are trained to create, process, analyze, visualize, and use data; and ensuring a minimum level of data literacy throughout the humanitarian workforce so that actors use data in day-to-day operations and longer-term strategic planning. An important component of developing the humanitarian workforce and its ability to use and understand data is a focus on building the capacity of people who may not traditionally be recruited into these roles, such as women and people from certain nationalities.

Sub-objective 1.1.1: Dedicated data analysis professionals - Entities working to support humanitarian responses should have dedicated data collection and analysis professionals based in all relevant global locations that are trained, coached, and available to provide near real-time support. These entities include national governments, national and international non-governmental organizations, public international organizations, response coordination bodies, and others. National staff and national organizations that specialize in information management should be strengthened and integrated into country-level humanitarian responses to reduce the reliance on the need for surge support.

Illustrative activities could include **but are not limited to**:

- Developing, implementing, and publishing accessible data analysis training and mentoring programs to build the capacity of humanitarian analysts, with a focus on national entities
- Devising and publishing a transformative strategy for humanitarian actors or responses to implement long-term, sustainable capacity building efforts

Sub-objective 1.1.2: Data literate humanitarian staff - The global humanitarian workforce, including decision-makers, program staff, and others, should be functionally data literate, committed to using data to support decisions, and actively integrate this into all stages of the humanitarian program cycle. Humanitarian organizations should prioritize cultural change and foster a data-driven orientation, resulting in collective behavior and belief relating to the importance of using data for decision-making.

Illustrative examples could include **but are not limited to**:
- Developing, implementing, and publishing accessible data literacy initiatives, training, and on-the-job practical support for decision-makers, program staff, and other non-data analysis professionals
- Shaping individual and organizational key performance metrics around data literacy

Sub-objective 1.1.3: Data talent pipeline and humanitarian recruitment - The recruitment pipeline of data analysis professionals should consistently meet the demand for global humanitarian data collection and analytic needs and successfully compete with the private sector to identify the best possible talent for humanitarian data analytics. Outside of data-specialized roles, general data literacy skills should be prioritized when recruiting humanitarian staff in other roles to promote the ability of humanitarians to use data.

Illustrative examples could include **but are not limited to**:
- A human resources market analysis of data analysis professionals across sectors
- Development and integration of a standard data literacy assessment for humanitarian recruitment processes

Pillar 2: Process

The pillar of 'process' refers to the platforms, coordination bodies, and procedures that enable humanitarians to have access to and use accurate, high-quality data for decision making. Through process, coordination structures and common conceptual frameworks drive a cohesive vision and plan for the future. Humanitarians leverage data and analytic tools based on common, coherent, and interoperable approaches to ensure a complementary and coordinated use of data across the response community.

As noted above, objectives under Pillar 2: Process may be addressed in the future rounds of the APS, subject to the availability of funds. For the first round, applicants must submit applications that address Pillar 2. BHA has introduced Pillar 2: Process in this round of the APS for applicant awareness only and to provide transparency around the overall programming strategy. While Pillar 2 is not available for programming in this round, it is intended that sharing the overall vision will promote cohesive programming.

Pillar 3: Technology.

The pillar of 'technology' refers to the tools, systems, and standards that modernize humanitarians' ability to make data-driven decisions. Technology gives actors the tools they need to collect, analyze, share and use data, and helps automate the required processes. These tools, systems, and standards are essential to avoid wasting precious time to manually discover, clean, and process data sources.

The objectives below describe the ideal state of each pillar. Applicants are expected to apply to one or more of the objectives described below if there is interest in supporting the work in this pillar. Future amendments to this APS will include additional objectives under this pillar.

Objective 3.1: Data Technology Standards - Data collection, analysis, and sharing to support humanitarian decision making should adhere to common standards and approaches. These standards should be structured, measurable, and developed by consensus similar to the Sphere standards[2] to ensure reliable data, privacy and security, resource efficiency, and interoperability.

Sub-objective 3.1.1: Interoperability - Humanitarian data should be interoperable allowing systems to speak to each other and datasets to be compared and combined easily. Interoperability allows for information to be openly accessible, shared, and used across actors and platforms. Relevant humanitarian datasets, with all-important metadata and codebooks, should be published on centralized platforms, available in machine-readable formats and exposed using Application Programming Interfaces (APIs) and graphical user interface where appropriate.

Illustrative examples could include **but are not limited to**:
- Assessing data formats and platforms used across the humanitarian community and proposing a unified approach
- Scaling the use of Humanitarian Exchange Language (HXL) or similar interoperability technology;
- Supporting the development of APIs for critical humanitarian datasets

SECTION B: FEDERAL AWARD INFORMATION

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

Subject to the availability of funds, BHA may 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.

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[2] https://spherestandards.org/humanitarian-standards/

For the first round of applications, BHA intends to award up to three (3) awards as Cooperative Agreements. For the first round of applications, the total amount of each award will not exceed $3 million for a period of performance of up to three years. Interested applicants may submit applications for lesser amounts and duration periods. The $3 million funding ceiling per application during the first round applies to applications that address one objective and to applications that address both objectives. For applications that cover both objectives, the applicants must decide themselves how much to budget for each objective within the $3 million ceiling for their applications and based on their proposed activities for each objective.

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 realistic 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 future rounds.

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

Performance indicators, targets, baseline data, and data collection will be determined with the Applicant once proposed activities are identified. As part of the Technical Application, the Applicant should propose draft indicators, targets, baseline data, and data collection as part of the Monitoring and Evaluation Plan.

3. Start Date and Period of Performance for Federal Awards

The anticipated start date of the new awards is on or about October 1, 2022 for the first round of applications. The awards will be issued for a period of performance of up to thirty-six (36) months (up to three years) from the date of award. Anticipated start dates of the awards for any additional rounds of applications will be provided in the relevant amendments, as applicable.

4. 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, evaluation and learning 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 subawards 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.

5. 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.

6. Nature of the Relationship between USAID and the Recipient

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

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 (a) reject any or all applications, (b) accept applications for reasons other than cost, or (c) accept more than one application. 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.

Public International Organizations (PIOs)
PIOs as defined in ADS 308 may apply for funding for an assistance award under this APS. A Public International Organization (PIO) is an international organization composed principally of countries, or any other organization that USAID designates as a PIO. Please refer to ADS 308 for further details about the definition and designation of PIOs.

Other eligibility information

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 subawardees. The respective roles of any other members of the consortium or individuals, including all subawardees, must be described and separate detailed budgets must be attached for each.

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

BHA welcomes applications from organizations that have not previously received financial assistance from USAID (new partners) and local organizations. Awards to 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.

Non-eligible Applicants:

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

2. Cost Sharing or Matching

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). Cost share will not be considered in the merit review since cost share is not required.

3. Limit on Number of Applications

For the first round 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 only one application as a Prime applicant inclusive of all the three possibilities of submission listed in Section A that an applicant has as a Prime applicant. **No preference will be given to applications that address one objective versus applications that address both objectives during this round of applications, and no preference will be given to applying for one particular objective versus the other. Award(s) will be made to the applicant(s) whose application(s) offer best technical approach according to the merit review criteria and the best value to BHA**

If an Applicant applies for both objectives, they **must** submit their application through one application and not two separate applications. **An applicant that applies as the Prime applicant for both objectives may only submit or be part of one application during the first round of applications. If an applicant is submitting an application as a Prime for one objective only, it may only apply for the other objective through another application as a sub-awardee.**

The limits and numbers of applications for any future rounds of applications will be addressed in the amendments for the future rounds of applications.

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 issued by SAM.gov 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.

(m) Must have received funding from USAID or a significant amount of funding from another U.S. Government agency within the last five years pursuant to USAID's funding requirements in ADS 303 or receive a successful pre-award survey from BHA.

5. Pre-Award Survey/Risk Assessment

If the applicant has not received funding from USAID or substantial funding from another U.S. Government agency within the past five years, a pre-award survey is required in accordance with

the policy requirements in ADS 303.3.9.1. A pre-award survey examines the applicant's systems to determine whether the applicant has the necessary organization, experience, accounting and operational controls, and technical skills in order to achieve the objectives of the program and manage USAID funding. An applicant must receive a successful pre-award survey in order to be considered for direct funding from USAID.

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;
- 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 $250,000, 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

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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

1. General Application Submission Information

Applications for this the first round of applications must be submitted via email to BHA.TPQ.TIHDE@usaid.gov. Note that emails, including all **attachments, must not exceed 10 megabytes (MB) per email**. 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).

Questions regarding this APS and for the first round of applications must be submitted in writing to BHA.TPQ.TIHDE@usaid.gov no later than the date and time indicated on the cover letter, as amended.

Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

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

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 deadline for submission of applications for the first round of applications is June 7, 2022, at 11:59 a.m. EST (Eastern Standard Time). 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 and due dates. 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 canceled at BHA's discretion.

2. Other Submission Requirements

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, as amended, BHA will consider the application incomplete.

Please note that any applications submitted after the deadline will be automatically marked as inactive. Late or incomplete applications may only be considered at the AO's discretion.

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.

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.

3. General Content and Form of Application

Each applicant must furnish the information required by this APS. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications. The Technical Application must address technical aspects only, while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a cover page containing the following information:
- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name;
- Notice of Funding Opportunity/APS number;
- Name of any proposed sub-recipients or partnerships (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303);
- Proposed total budget amount in USD; and
- Proposed program duration in months

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

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

Applicants must review, understand, and comply with all aspects of this APS. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

4. Application Submission Procedures

Applications for the first round of applications must be submitted no later than the closing date and time indicated on the cover letter, as amended. Late applications can only be reviewed at the discretion of the AO.

Applications must be submitted by email to BHA.TPQ.TIHDE@usaid.gov. Email submissions must include the APS number, the applicant's name, and the objective(s) that the application is for in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the Technical or Business (Cost) application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your Business (Cost) application is being sent in two emails, the first email should have a subject line that states: "[APS number], [organization name], [objective(s)], Business (Cost) Application, Part 1 of 2".

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

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

Applicants are reminded that email is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this APS, the initial point of entry to the government infrastructure is the USAID mail server.

5. Technical Application Format

The Technical Application must be specific, complete, and presented concisely. The Technical Application must demonstrate the applicant's capabilities and expertise with respect to achieving the objectives of this program. The application must take into account the requirements of the program and merit review criteria found in this APS.

For BHA to be able to ensure compliance to the stated page limitations, applicants must begin each component of the technical application format on a new page.

(a) Cover Page (See Section D.3 above for requirements, 1 page maximum for applications that cover one objective; 1 page maximum for applications that cover both objectives)

(b) Table of Contents (no page limitation)

Include major sections and page numbering to easily cross-reference and identify merit review criteria.

c) Executive Summary (2 pages maximum for applications that cover one objective; 4 pages maximum applications that cover both objectives)

The Executive Summary must provide a high-level overview of key elements of the Technical Application.

d) Technical Application (10 pages maximum for applications that cover one objective; 10 pages maximum for each objective for applications to cover both objectives for a total of 20 pages)

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 the proposed intervention(s) contribute to achieving the selected objective(s), including specific results anticipated. The scoring in the merit review criteria set forth in Section E of this APS indicates the relative importance of the merit review criteria.

It is anticipated that the successful application(s) (as may be revised) will become the Program Description for the award(s) resulting from this APS. Thus, applications submitted in response to this APS must be written clearly and in results-oriented terms.

The Technical Application must provide the following information:

- **Justification for the proposed intervention(s):** The Technical Application must include a justification for the intervention section that identifies and addresses the relevant objective(s) detailed in Section A of this APS.

- **Technical approach and program description:** This section must include a detailed description of proposed activities, as well as methodologies (with relevant rationales), processes, or steps that will be undertaken to implement each proposed activity within the timeframes outlined in this APS. The theory of change must be described for how the proposed activities address the needs outlined in the justification for the proposed intervention(s) section above and the selected objective(s) outlined in Section A of this APS. Demonstrate that proposed activities do not duplicate other efforts, including those of the host government and other local and international organizations, and show how the proposed interventions complement other actors' existing interventions. Describe direct and indirect beneficiaries of the proposed intervention and how you will target them. Describe how any information platforms or systems developed with BHA funding will be interoperable. Please also describe the proposed staffing structure to carry out the activities. Timelines, charts, or other graphics may be included for illustrative purposes.

- **Institutional experience and capability:** The Technical Application must include an institutional experience and capability section that details the applicant's relevant experience, as well as relevant technical experience. Applicants must outline their knowledge, capabilities and competencies relevant to the chosen objective(s). This section must also include any relevant experience creating public goods and supporting a broad set of stakeholders.

- **Coordination and influence:** This section must describe how the applicant will coordinate, share information, and collaborate with UN agencies, local and international NGOs, other USG agencies, other donors, national governments, and existing coordination mechanisms as part of the proposed activities' design, to successfully achieve the objective(s). The applicant must detail their role and position within the sector in relation to other actors.

- **Data security, privacy, and protection:** As relevant to the proposed activities, the Technical Application must detail the approach to data management that is safe, ethical, and avoids harm. Describe data responsibility at different levels, including interactions with beneficiaries or vulnerability populations, other organizations, or clusters/sectors and inter-agency coordination mechanisms.

- **Diversity, equity, and inclusion:** As relevant to the proposed activities, the Technical Application must describe strategies for targeting and integrating diverse minority groups that are not typically represented in the sector (gender, nationality, race or ethnicity, ability, etc.).

- **Supporting Documentation (these documents do not count against the page limits detailed above)**
  - Monitoring and Evaluation Plan
  - Collaborating, Learning and Adapting (CLA) plan
  - Draft Work Plan
  - Organizational Structure
  - Accountability to Affected Populations Plan (only Apparently Successful Applicants)

Pre-award partner vetting requirements for programs in countries where USAID currently has vetting programs (see ADS 319)

Monitoring and Evaluation Plan – (Indicator Tracking Table: no page maximum; Monitoring Narrative: 2 pages maximum for applications that cover one objective; 2 pages maximum for each objective for applications that cover both objectives)

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 will be finalized in consultation with BHA for the Apparently Successful Applicant(s).

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:
    a. Monitoring Approach, including an Abbreviated Statement of Work (SOW) for baseline and endline, as applicable; and
    b. Evaluation Approach, including abbreviated SOW, as applicable.

Collaborating, Learning and Adapting (CLA) Plan - (2 pages maximum for applications that cover one objective; 4 pages maximum for each objective for applications that cover both objectives)

Applicants must develop a CLA plan that links directly to the technical approach and explains how collaborating, learning, and adaptive management approaches will support the achievement of activity objectives. The plan must articulate specific CLA practices and how they will allow the activity to:

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

Draft Work Plan – (3 pages maximum for applications that cover one objective; 6 pages maximum for each objective for applications that cover both objectives)

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 the timing for deliverables. This plan will be finalized upon implementation of the Award.

Organizational Structure – (2 pages maximum for applications that cover one objective; 4 pages maximum for each objective for applications that cover both objectives)

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

Accountability to Affected Populations Plan (2 pages maximum for applications that cover one objective; 4 pages maximum for each objective for applications that cover both objectives - only required for Apparently Successful Applicants)

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. The plan must describe:

1. How the targeted stakeholders will participate in and play an active role in decisions related to the activity design and implementation;
2. 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;
3. How your mechanisms will collect, monitoring and address feedback and respond in a timely manner;
4. How you will incorporate beneficiary feedback into activity implementation, monitoring and evaluation of progress, and designing course corrections as needed;
5. How you will ensure that feedback and information mechanisms are safe, accessible, and the preferred mechanism for beneficiaries, especially marginalized or vulnerable populations; and
6. How you will ensure confidentiality and respond to any critical or sensitive program irregularity or protection issues that arise.
7. Explain whether or not your feedback mechanism feeds into a response wide, collective accountability mechanism.

6. Business (Cost) Application Format (no page limit)

The Business (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 Business (Cost) application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

For the first round of applications, if an applicant's application covers both objectives, the applicant must submit one budget and one budget narrative.

The estimated start date identified in Section B of this APS must be used in the Business (Cost) application. The Cost Schedule must include an Excel spreadsheet (Excel (MS Office 2000 or later versions) with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the applicant's discretion, however, the official cost application submission is the unlocked Excel version.

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

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

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

b) **SF 424 Form(s) (1 set of SF 424 Form(s) for applications that cover one objective; 1 set of SF 424 Form(s) for applications that cover both objectives)**

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

Instructions for SF-424	https://www.grants.gov/web/grants/forms.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms.html
Instructions for SF-424A	https://www.grants.gov/web/grants/forms.html
Budget Information (SF-424A)	https://www.grants.gov/forms/sf-424-family.html
Instructions for SF-424B	https://www.grants.gov/forms/sf-424-family.html
Assurances (SF-424B)	https://www.grants.gov/forms/sf-424-family.html

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

 c) **Required Certifications and Assurances**

Apparently Successful Applicants must provide:

    (1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" ADS 303mav document found at ADS Reference 303mav | U.S. Agency for International Development (usaid.gov)
    (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**

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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 USAID 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 USAID'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, objective 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 major budget category, budget line item, BHA Sector, objective 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.

For the first round of applications, if an applicant's application covers both objectives, the applicant must submit one budget and one budget narrative.

Example budget and budget narrative documents, are available at the following site: BHA Application Guidelines

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 and budget narrative, 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: Any applicant that does not have a **current** NICRA
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 indirect cost rate in collaboration with the subrecipient in accordance with 2 CFR 200.332.

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.

e) 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
- Unique Entity Identifier issued by SAM.gov
- 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 200.332(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

f) Unique Entity Identifier and SAM Requirements

USAID may not award to an applicant unless the applicant has complied with all applicable Unique Entity Identifier issued by SAM.gov 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 Unique Entity Identifier issued by SAM.gov for the applicant and all proposed sub-recipients;

2. Be registered in SAM <u>before</u> 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 (www.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.

SAM registration: http://www.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 www.beta.sam.gov, navigate to Help, then to International Registrants.

g) 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.

h)   Branding Strategy & Marketing Plan

The Apparently Successful Applicant will be asked to provide a Branding Strategy and Marking Plan (BS/MP)to be evaluated and approved by the Agreement Officer and incorporated into any resulting award.

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.

It is a Federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended, and 2 CFR 700.348) that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or subaward must be appropriately marked with the USAID identity. Under 2 CFR 700.348, USAID requires the submission of a Branding Strategy and a Marking Plan (BS/MP) by the "Apparently Successful Applicant." The Apparently Successful Applicant's proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in 2 CFR 700.348. NGO applicants are required to comply with 2 CFR 700.16 and ADS 320 Branding and Marking. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the Applicant is the/an Apparently Successful Applicant, the Applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting Award. Moreover, because USAID's branding and marking requirements have cost implications, such costs must be included in the application budget even if the Applicant does not submit its BS/MP with the application.

i)   Funding Restrictions

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

Construction will not be authorized under this award.

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.

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.

j)   Conflict of Interest Pre-Award Term

Personal Conflict of Interest

- 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.

- 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.

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.

l)   Code of Conduct

The mandatory standard provisions "Regulations Governing Employees" in **ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations** and "Recipient and Employee Conduct" in **ADS 303mab, Standard Provisions for Non- U.S. Non-governmental**

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** as updated in the **IASC Core Principles relating to Sexual Exploitation and Abuse (2019)**.

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, subawardees receiving BHA funds must adopt a Code of Conduct. Awardees will be responsible for ensuring that subawardees 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**, 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.

m)   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 under this APS must include a Risk Assessment and Management Plan, including additional requirements for high-risk requirements.

n)   Partner Vetting (reference ADS 319.3.6.3 for locations under section)

(a) The U.S. Agency for International Development (USAID) has determined that any award resulting from this assistance solicitation is subject to vetting **if the proposed country currently has a vetting program** (see ADS 319 for reference).

(b) The following vetting procedures apply for this solicitation:

(1) Prospective applicants will submit a USAID Partner Information Form online via the Partner Vetting System. Partners may submit any questions about the USAID Partner Information Form or these procedures to the Agreement Officer by the deadline in the solicitation.

(2) The Agreement Officer notifies the applicant when to submit the USAID Partner Information Form. For this solicitation, USAID will vet [insert in the provision the applicable stage of the selection process at which the AO will notify the applicant(s) who must be vetted]. Within the timeframe set by the AO in the notification, the applicant must complete and submit the USAID Partner Information Form (PIF) listing all key individuals to the Vetting Support Unit via the Partner Vetting System (PVS) online portal. The designated Vetting Official can be reached at:

Vetting Official
Address: 555 12th Street N.W. 8th Floor, Washington, D.C. 20005
Email: havettingquestions@usaid.gov

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

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

(c) Selection proceeds separately from vetting. Vetting is conducted independently from any discussions the AO may have with an applicant. The applicant and any proposed subrecipient(s) or contractor(s) subject to vetting must not provide vetting information to anyone other than the

Vetting Official. The applicant and any proposed sub-recipient or contractor subject to vetting will communicate only with the Vetting Support Unit regarding their vetting submission(s) and not with any other USAID or U.S. Government (USG) personnel, including the AO or the AO's Representative(s). The AO designates the Vetting Official as the only individual authorized to clarify the applicant's and proposed subrecipient's and contractor's vetting information.

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

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

(e) Reconsideration: (1) Within seven (7) calendar days after the date of the Vetting Official's notification, an applicant that vetting has determined to be ineligible may request in writing to the Vetting Official that the Agency reconsider the vetting determination. The request should include any written explanation, legal documentation, and any other relevant written material for reconsideration;
(2) Within seven (7) calendar days after the Vetting Official receives the request for reconsideration, the Agency will determine whether the applicant's additional information merits a revised decision; and
(3) The Agency's determination of whether reconsideration is warranted is final.

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

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

SECTION E: APPLICATION REVIEW INFORMATION

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

1. Review and Selection Process

a) Merit Review Criteria

In the Technical Application, applicants must clearly identify the objective(s) they will address from Section A of this APS and spell out their technical approach designed to address the objective(s). Applicants must describe in detail 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 performance indicators.

For the first round of applications, BHA will conduct a technical merit review in accordance with the following criteria. Each criterion is worth a certain amount of points, and each objective included in the application including for applications that cover both objectives will be scored out of 100 points.

The APS identifies two objectives for the first round of applications. Applicants must submit applications that cover one or both objectives as part of one application. No preference is given for applicants covering one or both objectives. **The merit review criteria and scoring will be applied separately for each objective applied, rather than for the application as a whole for applications that cover both objectives.**

For example, an applicant that applies for one objective will have the merit review criteria applied once for a total of 100 points. An applicant that applies for two objectives will have the merit review criteria applied once for objective 1 for a total of 100 points, and once for objective 2 for a total of 100 points. These objectives will be reviewed and evaluated separately. In the case that an applicant has applied for both objectives, but is only selected for one, BHA will request a change to the proposed program description to be only for the successful objective.

Criteria 1: Justification for the proposed intervention - 20 points
- Demonstrated understanding of the current humanitarian data ecosystem including existing gaps, stakeholders, and coordination mechanisms
- Clear articulation of the need
- Clear linkage describing how the proposed activities address the identified needs

Criteria 2: Technical merits of the application - 30 points
- Detailed description of proposed activities that are based on solid methodologies and best practices in the sector

- Detailed description of the theory of change and how the program's objectives and activities achieve the objective(s) outlined in the APS
- Degree to which proposed activities benefit a range of actors involved in preparedness, humanitarian response, and disaster risk reduction activities
- Manner in which diversity, equity, and inclusion are addressed in relation to groups that are not typically represented in the HCIMA sector
- Rigorous monitoring and evaluation processes proposed that seek to demonstrate the impact of the program

Criteria 3: Institutional experience and capability - 30 points
- Demonstrated technical expertise related to the proposed activities
- Demonstrated relevant experience related to the proposed activities
- 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.

Criteria 4: Coordination and influence - 20 points
- Demonstrated understanding of the humanitarian architecture (e.g. coordination mechanisms, endorsed guidelines/standards, etc.) and ability to coordinate work with other relevant actors across the humanitarian data ecosystem
- Demonstrated ability to implement work that supports the broader humanitarian community
- An overview of how the proposed interventions will complement other relevant humanitarian initiatives (planned or ongoing), including current BHA programs in this area (e.g. those of the applicant and other partners/donors)

BHA may provide specific merit review information for any future rounds of applications in the amendments.

b) Business Review

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

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

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.206). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with "specific conditions" (2 CFR 200.208).

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

2. Administrative & National Policy Requirements

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

For U.S. organizations: ADS 303, 2 CFR 700, 2 CFR 200, and Standard Provisions for U.S. Non-governmental organizations.

For Non U.S. organizations: Standard Provisions for Non-U.S. Non-governmental Organizations.

PIOs are subject to different requirements, so USAID reserves the right to make awards to such organizations on different terms and conditions than those made to NGOs, including Private Voluntary Organizations (PVOs).

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.

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

3. Reporting Requirements

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

ADS 540 requires awardees to submit documentation created during the course of a USAID award to the USAID Development Experience Clearinghouse (DEC), such as assessments, analyses, studies, articles, baseline surveys, midterm and final evaluations, and appropriate components of the Annual 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.

4. Program Income

Program income, if any, should be additive to the BHA and any cost-sharing (matching) funds and used for activity purposes.

5. Environmental Compliance

International disaster assistance (IDA)-supported activities receive an Exemption pursuant to 22 CFR 216.2(b)(1) and no further environmental compliance documentation will need to be developed.

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

1. APS Points of Contact

Any questions concerning the first round of applications for this APS, its appendices, Technical References, must be submitted in writing by May 6, 2022 to **BHA.TPQ.TIHDE@usaid.gov** . If there are future amendments for additional rounds of applications, BHA may provide specific information for submission of questions and applications in the amendments.

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

SECTION H: OTHER INFORMATION

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

Applications with Proprietary Data

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

> "This application includes data that must not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}."

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

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

ANNEX 3 - ABBREVIATIONS AND ACRONYMS

AO - Agreement Officer

API - Application Programming Interfaces

APS - Annual Program Statement

BHA - Bureau for Humanitarian Assistance

CLA - Collaborating, Learning and Adapting

FAA - Foreign Assistance Act

HCIMA - Humanitarian Coordination, Information Management, and Assessments

HXL - Humanitarian Exchange Language

M&E - Monitoring and Evaluation

NGO - non-governmental organization

RAD - Risk Analysis Division

SAM - System for Award Management

TPQ - Office of Technical Program Quality

UN - United Nations

USAID - United States Agency for International Development

USG - United States Government