



**SUBJECT:** U.S. Agency for International Development/Bureau for Democracy, Conflict, and Humanitarian Assistance/Office of Food for Peace Annual Program Statement for International Emergency Food Assistance, Opportunity Number 72DFFP20APS00002.

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The U.S. Agency for International Development's (USAID) Office of Food for Peace (FFP) is the U.S. Government (USG) leader in international food assistance. The purpose of this Annual Program Statement (APS) is to disseminate the necessary information to enable prospective applicants to apply for USAID FFP emergency food assistance awards using Title II and/or Emergency Food Security Program (EFSP) resources.

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## **SECTION A. PROGRAM DESCRIPTION**

This funding opportunity is authorized under the Food for Peace Act (FFP Act) or Foreign Assistance Act (FAA) of 1961, as amended.

### **1. Authorities**

Title II of the FFP Act authorizes the USAID Administrator to establish programs to provide agricultural commodities to foreign countries on behalf of the people of the United States and to provide assistance to address famine and food crises, and respond to emergency food needs, arising from man-made and natural disasters; combat malnutrition, especially in children and mothers; carry out activities that attempt to alleviate the causes of hunger, mortality and morbidity; promote economic and community development; promote food security and support sound environmental practices; carry out feeding programs; and build resilience to mitigate and prevent food crises and reduce the future need for emergency aid. The preponderance of Title II resources must be used to fund U.S. in-kind assistance interventions, under which the USG procures commodities from U.S. producers and then provides the commodities and associated costs to an implementing agency for use in programs to enhance the food security of vulnerable populations.

The Agricultural Act of 2014 amended Section 202(e) of the FFP Act to allow Title II funds to be used to establish and enhance Title II programs, which represents an expansion over prior statutory authority. Thus, a portion of FFP's Title II resources may be used to enhance Title II in-kind program activities, including with cash transfers, food vouchers, local regional and International procurement (LRIP) and Essential Complementary Activities (interventions) linked to the provision of food assistance and integral to the achievement of desired food and nutrition security outcomes. The Agricultural Improvement Act of 2018 further clarified the uses of Internal Transport, Storage and Handling funds. For more information on Title II Section 202e and ITSH resources, please use [this link](#) for the most up-to-date information bulletins.

The FAA authorizes the provision of international disaster relief, rehabilitation, and preparedness, through the International Disaster Assistance (IDA) account. Section 7 of the Global Food Security Act of 2016 amended the FAA of 1961 and authorized the emergency food security program (EFSP) within the IDA account to provide emergency food assistance, including in the form of funds, transfers, vouchers, and agricultural commodities acquired through local and regional procurement, to meet emergency needs arising from manmade and natural disasters. FFP relies on the IDA authority, including the EFSP authority, to provide market-based food assistance, which includes local, regional and international purchase of food, and other interventions such as food vouchers and cash transfers to facilitate the availability of and/or access to food. For the purposes of this APS, market-based food assistance refers to those modalities which utilize and reinforce existing market systems within a country or within the region. FFP works closely with USAID's Office of U.S. Foreign Disaster Assistance (OFDA) to ensure that FFP-funded programs complement OFDA-funded programs being implemented in the same geographic region.

### **2. Funding Priorities**

FFP's Mission is to reduce hunger and malnutrition and ensure that adequate, safe and nutritious food is available to, accessible to, and well-utilized by all individuals at all times to support a healthy and productive life. Through its emergency awards, FFP provides food assistance to save lives, reduce suffering, and support the early recovery of populations affected by both acute and protracted emergencies.

FFP responds to emergency situations, or crises, where the food supply is severely disrupted and populations lack access to sufficient food through normally available means such as production, barter, or purchase in markets. Such situations may involve drought, floods, earthquakes, and/or civil conflict. An economic shock such as a rise in food prices due to global price increases, or reduced remittances due to a recession, will be considered an aggravating rather than primary factor for determining eligibility for emergency food assistance.

FFP expects all awardees to uphold the following principles, which adheres to [humanitarian principles broadly accepted by the International humanitarian stakeholders](#):

- Do no harm in the process of providing food or other food assistance resources;
- Strive to keep the interests and voice of the vulnerable at the center of our work;
- Adhere to the highest standards of human rights, respect and dignity in our provision of assistance;
- Provide access to food to those in greatest need in an impartial manner, without bias or prejudice; and
- Enable communities to find durable means to meet their own food security needs.

FFP will consult with the Office of U.S. Foreign Disaster Assistance (OFDA) in evaluating and making final determinations on applications that propose modalities and/or essential complementary activities outside of the food security and nutrition sectors, and/or on those that propose multipurpose cash assistance. For applications that propose essential complementary activities outside of the food security and nutrition sectors, the [OFDA Application Guidelines](#) will be used as the technical standards for application evaluation.

### **3. Eligible Food Security and Nutrition Responses**

FFP defines three categories of emergency Interventions which may be eligible for funding under this APS:

- **Relief** - Activities that meet the immediate, life-saving food assistance needs of populations directly affected by an identifiable shock, or which protect livelihoods from further degradation.
- **Recovery** - Activities implemented for a specified, appropriate timeframe that assist populations recovering from an identifiable shock and, if possible, place them on a trajectory that facilitates their return to at least a subsistence level and capable of participating in development activities.

- **Protracted Crisis** - Activities that meet the food needs of populations in those environments in which a significant proportion of the population is acutely vulnerable to death, disease, and disruption of livelihoods over a prolonged period of time.

Given that emergency resources are limited, priority will be given first to life-saving relief interventions, and then to early recovery and protracted crises.

FFP expects that the value of the emergency food assistance resources going directly to the participants (cash/voucher monetary value or the market value of commodities inclusive of import costs as applicable) will constitute the majority of total proposed costs. Applications that do not meet this threshold will trigger additional scrutiny of budget appropriateness during review.

USAID's focused resilience-building efforts are multi-year, multi-sectoral and multi-partner activities. If unique conditions on the ground merit the inclusion of FFP emergency activities in one of these joint efforts or a similar strategic opportunity, FFP may issue a standalone solicitation for multi-year work separate from this document. Shorter-term emergency and recovery food security interventions supported under this APS may mitigate the impact of shocks, prevent the erosion of household assets and livelihoods, and accelerate recovery—contributing to the future resilience of affected households and communities.

#### **4. Eligible Modalities**

##### **A. Food Transfer Modalities**

Under this APS, FFP has identified a number of standard food assistance transfer modalities for use in implementing activities to achieve food security and nutrition objectives in relief, recovery, or protracted crisis contexts. These modalities are listed below. FFP encourages partners to consider whichever modality or combination of modalities is best suited to the emergency context. FFP recognizes that emergency circumstances may require flexibility to switch between approved modalities over the life of the award. See the relevant application section for details on how flexibility can be included in the program description of the award.

- **Local procurement** - The targeted provision of food or specialized nutritious foods procured within a country affected by an emergency.
- **Regional procurement** -The targeted provision of food or specialized nutritious foods procured from a country that is within the same continent.
- **International procurement** - the targeted provision of food or specialized nutritious foods procured from a country that is not located within the same continent as the country in which the commodities will be used. The definition of International procurement does not include procurement from the United States.

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International procurement will only be approved under rare circumstances in which neither local/regional markets nor U.S. in-kind food are sufficient to meet the needs in an urgent crisis and will require specific justification.

**Note:** FFP prioritizes procurement in developing countries. Consequently, for all local, regional and international procurements, country of source and country of origin must be included within the “Lower Middle Income Countries and Territories” level or below on the [Official Development Assistance \(ODA\) recipients list](#) of the Organization for Economic Cooperation and Development’s (OECD) Development Assistance Committee (DAC) unless the country in which the commodities are to be procured is itself impacted by the same crisis. A commodity’s source is the country from which the seller ships the commodity, and origin is the country in which the commodity was produced. See [FFP information Bulletins \(FFPIB\)](#) for further details on FFP’s policy on source and origin of Local, Regional, and International Procurement (LRIP).

Any deviation from this requirement should be explicitly identified in the application with justification for the requested waiver.

- **Title II U.S. in-kind food aid** – The targeted provision of U.S. food commodities procured through the regular ordering process or drawn from pre-positioned stocks, as determined by FFP, with associated costs for distribution, transport and storage to food insecure participants in the affected country.

**Note:** For U.S. in-kind food aid, applicants must request commodities on [FFP's commodity price list](#). Note that specialized food aid commodities, such as ready to use supplementary foods (RUSF) require specifically tailored interventions. Requests for these specialized commodities will be considered on a case-by-case basis.

- **Food vouchers** - The targeted provision of vouchers that are redeemable for food to participants who are affected by an emergency and who lack economic access to food stocks that are readily available in the local markets of the affected country.
- **Cash transfers** - The targeted provision of money to participants who lack economic access to food stocks that are readily available in the local markets of the affected country. See the “Essential Complementary Activities” section for details on multipurpose cash assistance.
- **Market strengthening** - Assistance provided to improve a crisis-affected group’s situation by providing support to a critical market system they rely on, often utilizing a transfer modality as outlined above, but not necessarily at the household level. Support can be provided to market actors, market infrastructures and services, or market environment. Applications proposing market strengthening support must include methods to measure food security related outcomes for the emergency-affected population. Market strengthening is considered a food assistance transfer modality and thus not listed as an “essential complementary activity”, as described below. Market development (i.e., activities intended primarily to promote market linkages that did not exist pre-crisis) will generally be considered outside the scope of emergency response.

On an exceptional basis, applicants may propose a Title II funded market access program activity for review and consideration. For additional information on market access programs, see the [Market Assistance Program Field Manual](#).

## **B. Essential Complementary Activities**

“Essential Complementary Activities”, as described in this APS, are discrete activities that enhance the overall effectiveness and impact of the food assistance transfer modalities described above, and contribute to the stabilization of household/community availability of, access to, and utilization of nutritious foods. Essential Complementary Activities contribute directly and/or indirectly to the achievement of the emergency-related food security and nutrition objectives when they are programmatically linked to the transfer modality used (e.g. promoting the purchase of more nutritious foods among cash transfer/unrestricted food voucher recipients, while working with market traders to increase the availability of more nutritious foods).

The majority of activity costs should go directly to the activity participants through direct transfers to provide access to nutritious foods. *Essential Complementary Activities can be proposed to protect gains made through the transfers but must not exceed 20 percent of the total proposed budget of any application (including all supporting costs such as staff salaries and fringe benefits, equipment, other direct costs, etc.)*

For activities proposing Essential Complementary Activities, applications must clearly articulate how these activities will enhance the effectiveness of the selected food assistance transfer(s) in achieving the food security and nutrition objectives of the activity, and how these activities will complement or coordinate with similar activities being implemented by other response actors.

Essential Complementary Activities may include, but are not limited to the following sectors and activities therein:

- **Nutrition: Prevention and/or treatment of acute malnutrition:**

- Management of acute malnutrition

- Commodity or financial support for specialized nutritious products (FFP promotes the use of the United Nations Children’s Fund [UNICEF] and the World Food Program [WFP]-supported pipelines for ready to use foods (RUFs), though exceptions may be considered for buffer stocks or other reasons with substantial justification);
- Community outreach and mobilization to include screening to improve early case detection and referral into treatment programs;
- Activities directed at the improvement of case outcomes including defaulter case tracking and follow up;
- Activities to improve quality through training, capacity building or supportive supervision of community health workers or other actors supporting these programs.



### Infant and Young Child Feeding (IYCF) and Women's Nutrition

- Breastfeeding promotion and support to encourage early and optimal breastfeeding practices (early initiation of breastfeeding after birth, exclusive breastfeeding for the first six months, continued breastfeeding for two years and beyond);
- Improved access to and consumption of age appropriate foods during the complementary feeding period;
- Activities that specifically target pre-pregnant, pregnant and lactating women with nutritious foods;
- Activities that strengthen access to a broader range of foods for improved nutrition of women and children, particularly as paired with cash and voucher transfer programs;
- Activities that build institutional capacity or support within the enabling environment for IYCF.

For activities proposing nutrition interventions, applicants must clearly articulate how other key stakeholders—particularly government ministries and/or nutrition clusters—are engaging in the sector, and how the proposed activities are filling gaps or otherwise harmonized with the wider response.

- **Agriculture:** Including agricultural training, capacity strengthening, rebuilding of agricultural assets. Interventions may include provision of approved agricultural commodities such as seeds, tools, and fodder, with appropriate procurement plans for safety and quality monitoring, following ADS and OFDA guidelines. Specific activities related to irrigation, gardening, livestock, or fisheries production and post-harvest handling will be considered.
- **Livelihoods:** including support for community-level savings and lending groups (but not to include capitalization or recapitalization of savings groups) and restoration of livelihoods whether on-farm, off-farm, or non-farm.
- **Water, Sanitation, and Hygiene (WASH):** including support for water supply hygiene promotion, environmental health (such as solid waste management, drainage, and vector control), and sanitation programming.
- **Coordination and Capacity Building Support:** including support to clusters, working groups or other sub-cluster entities that are relevant to support a more effective and coordinated food security response to the specific shock, as well as capacity building efforts to ensure effective and efficient food assistance delivery (e.g., food security and livelihoods cluster, nutrition cluster, logistics cluster).
- **Efforts to strengthen gender equity, empower youth, or improve cohesion:** including support to linkage promotion and dispute resolution mechanisms between identity groups when such factors can be clearly linked to improved food security.
- **Disaster Risk Reduction:** including activities that strengthen people's capacity to anticipate, cope with, and recover from future shocks and stresses and that aim to address the underlying



causes of disaster, such as lack of knowledge, unplanned urbanization, and environmental degradation, particularly when activities can be directly linked to improved food security.

**Note:** Applicants are encouraged to use risk-sensitive approaches wherever appropriate whereby key risks, hazards, and mitigation strategies are identified and integrated into the broad range of project interventions that not only meet immediate needs but also strengthen the ability of people to cope with future crises.

### **C. Multipurpose Cash Assistance**

- FFP may authorize funding for multipurpose cash grants either by (a) contributing funding proportional to food needs in an activity with other donors who can cover the proportion of the grants for non-food needs, or by (b) fully funding a multipurpose cash grant as long as the funding for non-food needs fits within the 20 percent Essential Complementary Services cap outlined above.
- For applications that propose a multipurpose cash transfer that includes food commodity costs funded through Food for Peace with the remaining value coming from another donor(s), the associated costs must be attributed proportionately. The food value and all proportionate associated costs must be budgeted under the category of Cash Transfers.
- For applications that propose multipurpose cash assistance for food and non-food purchases under a single award, the non-food transfer value and all non-food associated costs must be counted under the 20 percent cap for Essential Complementary Activities.

Note that Multipurpose Cash Assistance is not an Essential Complementary Activity.

**Monetization of commodities will typically not be permitted under this APS.**

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

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

The value of awards and expected number of awards will be determined by assessed needs and context in a country to country basis and is subject to the availability of funds. FFP assigns no thresholds for minimum or maximum award or number of awards per response.

USAID plans to make multiple awards in the form of grants or cost-type agreements under this APS. Nevertheless, USAID reserves the right to make awards in the form of cooperative agreements, or not to make any awards at all, or to limit the number of awards made to a particular region or country. There is no limit regarding either the number of applications that an organization may submit or the number of awards FFP may approve for a given region or country or to a specific organization.

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

Resources available under this APS are prioritized to address immediate emergency relief and recovery food assistance needs. Immediate relief activities should not exceed 12 months in duration and should be justified based on need. For populations that are affected by protracted crises—such as refugees or internally displaced persons—needs must be periodically reassessed. Applications for recovery and protracted response activities should not exceed 18 months. Awards may be subsequently extended based on needs and conditions on the ground, and such funded extensions will typically require a new submission under the criteria outlined in section D of this APS (including a financial and commodity pipeline analysis, a justification of on-going need and updated information such as the risk assessment). Note that in the case of extensions that do not propose any major changes to the type of activities, a concept paper may not be required. Current awardees should contact their Agreement Officer's Representative to determine whether to seek an extension or request a new award well before the award end date.

This APS is open indefinitely and will remain open until an APS amendment is issued to establish a closing date. Concept papers may be submitted at any time until the APS closes. The timing of specific events such as the agricultural season as well as lead time for commodity procurement should be taken into account when submitting to ensure that key activities will start on time.

USAID intends to review applications as they are submitted, but USAID may issue amendments or addenda to this APS to request concept papers or applications for particular countries or regions of interest. USAID will post amendments or addenda to [Grants.gov](https://www.grants.gov) (through which organizations may sign up to receive notifications of changes), and to the [FFP Emergency Food Assistance website](https://www.usaid.gov/our-work/food-and-nutrition/ffp-emergency-food-assistance). USAID may issue amendments or addenda to this APS for other reasons, such as to establish deadlines or notify interested parties that no further funding is available.

## **3. Substantial Involvement**

Substantial Involvement is not anticipated under a grant award. If a cooperative agreement is awarded, substantial involvement cannot exceed the limitations noted in ADS 303 and may consist of one or all of the listed elements in that ADS section unless a deviation (i.e., an additional or revised element) is approved in accordance with 303.3.4. Note: ADS 303 applies to NGOs/PVOs while ADS 308 applies to PIOs. Unless otherwise specified in the APS, any reference to the Code of Federal Regulations or the ADS applies to NGOs only.

## **4. Authorized Geographic Code**

The geographic code for the procurement of commodities and services under this program is anticipated to be 935.

## **5. 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 FFP's objective to reduce hunger and malnutrition and ensure that adequate, safe and nutritious food is available to, accessible to, and well-utilized by all

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individuals at all times to support a healthy and productive life. 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. USAID will require management meetings on a routine basis which may be both face to face and virtual as deemed appropriate by the AOR.

## **SECTION C: ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

#### **A. For Title II Emergency Food Assistance Activities the applicant must be:**

- A private voluntary organization (PVO) or cooperative.
  - A PVO is a U.S. private voluntary organization, international private voluntary organization or a local private voluntary organization as defined in 22 CFR 203.2.
  - A PVO includes U.S. and non-U.S. nonprofit, non-governmental organizations (NGOs) (1) as defined in Section 402 of the Food for Peace Act; and (2) in accordance with [ADS 303](#).
- A public international organization (PIO), such as the United Nations (UN) World Food Program.
- In addition, according to Title II of the FFP Act, USAID may provide Title II resources and agricultural commodities to meet emergency food needs through foreign governments in such a manner and on such terms and conditions as USAID determines appropriate to respond to the emergency.

#### **B. For EFSP Activities the applicant must be:**

- A U.S. or non-U.S. NGO, including PVOs.
  - An NGO is defined by USAID as any non-governmental organization or entity, whether non-profit or profit-making.
- An organization designated by USAID as a PIO such as the UN World Food Program.

### **2. Non-eligible Applicants**

Under this APS, for both Title II and EFSP, USAID will not accept applications from, or provide resources to individuals, parastatal organizations, or U.S. Government departments and agencies.

**Note that USAID will not make EFSP awards to foreign governments.**

### **3. New Partners**

USAID welcomes concept papers from organizations that have not previously received financial assistance from USAID. However, awards to these new organizations may be delayed as the USAID Agreement Officer may need to undertake pre-award risk assessments as discussed in ADS 303.3.9. These pre-award risk assessments may affect implementation dates and activities;

new partners should take this into account. Potential new partners might wish to consider collaborating with those organizations that have met the criteria described in the ADS in an attempt to expedite review and approval.

#### **4. Cost Share**

No cost share is required. Where possible, all applications, particularly those that are recovery-focused, should include activities that are integrated with activities in other sectors, layered with other investments in the same communities, and/or sequenced with activities that will further enhance the food security of the target population.

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

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

Potential applicants shall contact the USAID Agreement Officer for this APS through the following mechanisms:

- Contact [ffpemergencygrants@usaid.gov](mailto:ffpemergencygrants@usaid.gov) with any questions or comments relating to an emergency concept paper or application.
- The APS applies to both new proposed interventions and funded extensions or modifications of existing FFP-funded emergency awards. All submissions should be completed online through

the Partner Portal. This includes revised application documents. Partner Portal can be accessed at [Partner Portal Login](#).

**Note:** Pre-award contact with any other USG personnel or FFP's institutional support contractors by an NGO which involves a proposed or submitted concept paper or application in response to this APS may result in disqualification of the concept paper or application unless FFP has provided notification of a deviation from the competitive process per the disaster assistance exception to competition as outlined in ADS 303. Such notifications will include information on any other deviations from the guidance provided in this APS. Otherwise, submissions under the exception to competition will typically follow the same format as described below in section D

## **2. Questions and Answers**

Questions regarding this APS should be submitted to [ffpemergencygrants@usaid.gov](mailto:ffpemergencygrants@usaid.gov). Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment to this APS if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

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

Partner Portal submissions will require a combination of data entry and document uploads for concept papers, applications, and reporting. All uploaded documents should be completed in accordance with the format detailed in this APS and must comply with the following:

- Written in English, single spaced and in 12-point Times New Roman font, all text in tables or charts are allowed to use 8 or 10 point Times New Roman font;
- Narratives should be prepared in Microsoft Word or a compatible equivalent, with print areas set to 8.5 x 11 inch, letter-sized paper and one-inch margins, left justification and a footer on each page including page numbers, date of submission, proposed country, and applicant name;
- Spreadsheets (including for budgets) should be prepared in Microsoft Excel or a 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; and
- All documents, including budgets, should be presented in a print-ready format.
- Emailed, hard copy, and faxed concept papers and applications are not acceptable.

## **4. Application Submission Procedures**

USAID typically requires applicants to submit a brief concept paper prior to submitting a full application. Applicants may submit concept papers for activities requesting Title II U.S. in-kind

resources only, other modalities, or a combination of Title II U.S. in-kind and other modalities, as warranted. Please see below for guidance on how to submit a concept paper.

Applicants need only submit one concept paper, even if they are requesting both in-kind and market-based food assistance resources. Applicants should submit concept papers without specifying the funding source for market-based modalities. USAID will decide how any approved market-based modalities will be funded prior to request for full application.

## **5. Technical Application Format**

### **A. Concept Paper (5 pages Maximum)**

USAID encourages applicants to submit concept papers as soon as possible and applications, if requested, within two weeks in order to ensure the response occurs in a timely manner.

USAID will work with applicants and potential partners to address needed changes should the situation evolve and more information becomes available.

The Concept Paper submission package must include:

- 1) Activity Overview Table
- 2) Concept Technical Information (5 page maximum)
- 3) Budget Overview
- 4) Map of the proposed target intervention area(s)

**Note:** Activity Overview Table, Budget Overview and the Map do not count as part of the 5 page maximum.

USAID understands that the information in the concept papers will be preliminary and may change in the final application.

- 1) **Activity Overview Table** that may include in-kind food aid resources, market-based modalities, and/or essential complementary activities, as applicable. Applicants must complete and submit the following table in a separate Excel compatible spreadsheet with their concept paper.



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Activity Overview Table																
Organization Name:								Name, Title and E-mail Address of Point of Contact:								
Activity Title (if applicable):								Total Funding Level Requested:								
								Total Operation Funding Level (if Multi-donor):								
Start Date of Award:								Start Date of Operation (if Multilateral):								
End Date of Award:								End Date of Operation (if Multilateral):								
Country and Geographic Administrative Unit(s) (in the country):																
Activity Category	Activity Detail	Modality	District	Region	Cash/ Voucher Transfer Amount (\$ if applicable)	Commodity Transfer Amount (Kg if applicable)	Percentage of kcal needs met by Transfer	Unit of Transfer	Number of Distributi ons	Frequency of Distribution	Number of Households	Number of Individuals	Total Transfer Value	Total Commodity Transfer (Tonnage if Applicable)	Other Costs (Freight, Staffing, Overhead)	Total Cost
For Work (Cash/Food/Vouchers)	Cash for Work	Cash Transfer	Pulaski, Lonoke	Central	\$100	0.00 kg	70%	Household	6	Monthly	5,000	30,000	\$3,000,000	0.00 MT	\$1,500,000	\$4,500,000
General Distribution (Cash/Food/Vouchers)	General Food Distribution	In-Kind (U.S.)	Poinsett	Delta	N/A	17.00 kg	100%	Individual	6	Monthly	5,000	30,000	\$2,500,000	3.06 MT	\$2,000,000	\$4,500,000
Hygiene Promotion		Essential complem entary Activity	Pulaski, Lonoke, Poinsett	Central, Delta	N/A	N/A	N/A	N/A	N/A	N/A	5,000	30,000	\$0	0.00 MT	\$2,200,000	\$2,200,000

**2) Concept Technical Information** (must not exceed five pages)

Concept papers that exceed this limit may be rejected without review.

**a. Emergency Description** (half a page to one page)

Explain the food and nutrition security emergency. Provide details outlining what portion of the population has been affected by the food security emergency (breadth) and the severity of current and projected food insecurity at the household level (depth) as they relate to the conditions in a normal year.

Recognizing the need for rapid action and that available information will vary significantly based on stage of the emergency and context, please provide, as available:

- Specific indicators of acute food and nutrition insecurity in the targeted geographic area  
Depending on the stage of the emergency, this might include leading indicators (such as rainfall, projected yields, Famine Early Warning Systems Network [FEWS NET] projections, disruption of livelihoods, disruption of markets, price volatility, displacement, etc.) or following indicators (such as food consumption score, household hunger scale, coping strategies index, or seasonally atypical levels of malnutrition) as well as qualitative findings. The level of detail should reflect data available at time of submission and outline any ongoing or planned assessments that would influence activity design.
- Scale and Context  
How many people are affected and how severely in the targeted geographic area? How does that compare to the overall population in the targeted geographic area? How do current conditions (agricultural yields, malnutrition levels, etc.) compare to the seasonal trend historically? Relative to the five year average? Has the government declared an emergency or asked for international assistance?
- Social Dynamic  
Briefly describe the targeted community context with particular regard to ongoing tensions among identity groups and other aspects of social cohesion that need to inform the response, including attention to age and gender factors.
- Gap Analysis  
Who are the other food security actors in the proposed geographic area? How are you coordinating this food security activity with other humanitarian and government actors to maximize impact and avoid duplication?
- A map highlighting the proposed geographic target areas (with administrative units shown)  
(This map does not count as part of the 5 page maximum.)

If a published assessment is used (e.g., a UN appeal), cite the source including title, author, and date of publication. If citing assessment findings that are not publicly available, please include a copy of the assessment as an attachment to the concept paper, if possible.

**b. Activity Summary and Objective (no more than one page).**

This section should present a succinct summary of the overall design of the activity. It should provide basic information on who will be targeted with what interventions/modalities, when, where, and how the assistance will be provided, and why the activity design is appropriate given the identified needs, scale, context, social dynamics, and assistance gaps presented in the emergency description.

- How did you determine the size of the ration or transfer?
- How do any planned restrictions or conditionalities planned contribute to achieving program objectives?

**c. Modality Rationale (Use the remaining page length for Rationale).**

Explain the rationale used to select the proposed modality/ies based on the population's emergency food and nutrition security needs presented in the "emergency description" above. Please respond to each of the criteria below.

- Market Appropriateness

Describe what type of assessment or analysis has been conducted to date to identify the most appropriate response modality based on market conditions. This section should be data-driven to the extent possible and based on information available at time of submission (either internally or from secondary sources). Note: FFP understands that immediately following rapid onset disasters, information may be limited and this should not preclude a concept note submission.

- Is there an adequate supply and diversity of food commodities on source markets to meet participant needs?
- Are source markets sufficiently integrated with regional/international markets to adapt quickly to changes in demand?
- Is there sufficient competition to mitigate collusion, price fixing, and other potential negative impacts on the program?
- Is there a risk that the proposed modality would adversely affect current levels of competition, collusion, prices, and/or supply?
- Is price volatility a risk in the current context that would affect the chosen modality?
- Is there any risk of the chosen modality creating disincentives to production or competing with more sustainable livelihood activities?
- Have you identified any other risks or possible benefits to local markets that influenced your choice of modality?

- Feasibility

Briefly discuss major operational constraints that factored into the choice of response modality and delivery mechanism. Elements to consider include:

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- o Timeliness: Will the modality allow for a timely response to the humanitarian needs?
- o Delivery mechanism: What are the available financial service providers (FSPs), including mobile money providers? What are their capacities, coverage, reliability, and ability to meet program needs? Is the target population able to meet any applicable 'Know Your Customer' (KYC) requirements (i.e., identity verification requirements imposed by the service provider or national law)? How do participants prefer to receive money? Please address separately how men and women, young and old access and benefit from digital cash and mobile money services? What delivery options are safest, most convenient, and most accountable, including data protection concerns?
- o Market accessibility: Do target populations have regular and safe access to markets? Are they within a reasonable distance? Please answer these questions separately for women and men, young and old.
- o Security: Given security risks and humanitarian access, is the proposed modality feasible?
- o Market infrastructure: What is the state of the transportation and storage infrastructure?
- o Risk mitigation: Are there adequate risk mitigation measures in place (risk mitigation plan, accountability mechanisms)?
- o Operational Capacity: Is there adequate operational support and staff to effectively utilize the chosen modality? Is there adequate technical expertise and capacity to successfully deploy the selected modality?
- o Political environment: Is the modality permitted and/or acceptable to relevant authorities?
- Activity Objectives
  - o Strategic Approach: Are there specific dimensions of food or nutrition security for the affected population that the activity is trying to address and can be met more effectively by some modalities than others? In what way has the activity been intentionally designed to include population groups particularly vulnerable to food insecurity?
  - o Strategic Approach: Is the proposed activity part of a broader response package or multi-agency strategy?
  - o Preference: Has the modality considered participant preferences? Were the preferences of different groups within the population considered?
  - o Protection: Are there specific modalities which could mitigate or exacerbate protection concerns at both the intra-household and community levels? Have potential impacts been assessed from an inclusive perspective (age, diversity, gender, disability)?
  - o Gender: What are the concerns regarding impact on gender dynamics and resource allocation?
  - o Vulnerable Populations: What are the specific concerns of vulnerable populations addressed through the modality? To what extent have all potentially food insecure population groups been included in the modality?
  - o Conflict Sensitivity: How might resource transfers mitigate or exacerbate conflict dynamics at community or household levels?
  - o Sectoral Objectives: Is the modality an effective means to achieving sector-specific objectives? What are the consumption habits, cultural behaviors, or other dynamics which should be considered?

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- o Essential Complementary Activities: If funding for Essential Complementary Activities is requested, explain how these activities directly or indirectly contribute to the achievement of the food and nutrition objective(s), as well as how they will strengthen the overall impact of the food assistance transfer modality/ies proposed.
- o FFP's emergency mandate necessitates the prioritization of life-saving food security interventions, and there are often trade-offs between essential complementary activities and the number of people it is possible to assist. Essential complementary activities should be described and justified with this in mind. Please also indicate whether your organization has approached USAID's Office of U.S. Foreign Disaster Assistance for funding of these or similar activities.

- Cost Efficiency

Among modalities that have been determined to be market appropriate, feasible, and capable of achieving the desired objectives, is the proposed intervention a cost efficient way to meet the humanitarian needs? If the proposed modality or delivery mechanism is not the most efficient (per the calculation below), what considerations or tradeoffs went into the decision? If available, you may choose to cite any studies, pilots, evaluations, etc. relevant to the implementation country to support your decision.

Any relevant data available on cost effectiveness—e.g., comparative cost to achieve a specific outcome—of a particular approach in a country may be presented in this section to justify the proposed concept.

In the absence of evidence on costs to achieve outcomes, FFP requires that applicants provide a comparison of the ration-specific costs (e.g., transfer value or commodity and freight) of the proposed activity relative to an equivalent Title II program. Savings should be indicated as percentage and absolute value.

- o For LRIP programs, use the Title II commodity calculator available on the FFP website to construct a Title II food basket of equivalent nutritional value for the sake of comparison.
- o For Cash and Voucher Assistance (CVA) (which includes both unrestricted cash transfers and food vouchers), identify the intended percentage of food needs met and convert that into an equivalent food aid basket (exact commodities do not need to match) to estimate required volume of Title II commodities via the Title II commodity calculator. This conversion may be based on the commodity composition of other in-kind programming taking place in the same country.

If requesting both in-kind and CVA, in addition to the above, please explain how the two will complement each other.

FFP acknowledges that this comparison methodology is not inclusive of all cost categories and that last mile delivery costs for cash and voucher programming may be less than in-kind

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modalities. Additional costs borne by program participants should be factored into decision-making, and may also be quantified in the modality justification.

### **3) Budget Overview**

At this concept paper stage, applicants should include estimated commodity and freight costs for Local, Regional and International Procurement (LRIP), transfer values, and/or costs directly related to essential complementary activity implementation but do not have to itemize other costs.

### **4) Map of the proposed target area(s)**

Include a map that clearly identifies the geographic locations to be targeted by the activities, with as much specificity as can reasonably be managed based on the urgency of the response and scaled to an administrative level appropriate for the activity coverage.

For concept paper evaluation see [SECTION E: APPLICATION REVIEW INFORMATION](#) of this APS.

## **B. Application (15 pages maximum)**

Based upon the evaluation of the Concept Paper, USAID may request a full application for further consideration. The request for a full application is not a commitment by USAID to fund the proposed activity or portion thereof. The decision to submit a full application is at the applicant's sole discretion. USAID reserves the right to reject an application without review if the assumptions and/or circumstances underlying the approval of the concept paper have changed significantly. Therefore, applicants are urged to submit full applications within two weeks of being invited to do so.

Full applications will be evaluated on a rolling basis in accordance with the criteria set forth in the *Merit Review Criteria* section below. After review of an application, either an award decision will be made, or—if deemed necessary—written and/or verbal discussions/negotiations will be conducted with applicants who submit the most highly-rated applications. After the conclusion of any such discussions/negotiations and unless otherwise advised, applicants will be required to submit revised applications which will be re-evaluated against the merit review evaluation criteria. If necessary, USAID may conduct more than one round of discussions/negotiations and may request more than one revised application.

The application process has been designed to minimize the time needed for award approval. While there is no time limit or approval deadline associated with the APS application review process, USAID will make award decisions as quickly as possible.

All applications should include the following:

<b>Technical Documentation (15 Pages maximum)</b>	
1) Activity Overview Table	Required
2) Emergency Description	Required
3) Activity Design and Description	Required
4) Operations and Logistics	Required
<b>Supporting Documentation (Annexes)</b>	
5) Organizational Risk Assessment*	Required
6) Protection Risk Assessment*	Required
7) Inventory Oversight	Required as applicable
8) Monitoring and Evaluation (M&E) Plan*	Required



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<b>9) Cost Application /Budget/ Budget Narrative*</b>	Required
<b>10) USAID Environmental Regulations (Rapid Environmental Impact Assessment (EIA))</b>	Encouraged
<b>11) Signed Certifications, Assurances, and Other Statements of Applicant and/or Recipient*</b>	Required
<b>12) System for Award Management (SAM)</b>	Required
<b>13) Financial Documents/Indirect Cost Rates (NICRA)</b>	Required
<b>14) Federal Forms (SF-424 and any relevant attachments)*</b>	Required
<b>15) Branding Strategy and Marking Plan*</b>	Encouraged (required before award)
<b>16) Safety and Security Plan*</b>	Required
<b>17) Past Performance*</b>	Required (successful applicants only)
<b>18) Maps</b>	Encouraged

\*For modifications include the updated version as applicable

Note: Funded modifications require a pipeline analysis. A sample can be found on the FFP [Website](#).

- 1) Activity Overview Table** that may include in-kind food aid resources, market-based modalities, and/or essential complementary activities, as applicable. Applicants must complete the following table in Excel and submit with their Application. The total amount of the budget in the Activity Overview Table should equal the total amount in the Cost Application.

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Activity Overview Table

Organization Name:								Name, Title and E-mail Address of Point of Contact:								
Activity Title (if applicable):								Total Funding Level Requested:								
								Total Operation Funding Level (if Multi-donor):								
Start Date of Award:								Start Date of Operation (if Multilateral):								
End Date of Award:								End Date of Operation (if Multilateral):								
Country and Geographic Administrative Unit(s) (in the country):																
Activity Category	Activity Detail	Modality	District	Region	Cash/ Voucher Transfer Amount (\$ if applicable )	Commodit y Transfer Amount (Kg if applicable )	Percenta ge of kcal needs met by Transfer	Unit of Transfer	Number of Distribut ions	Frequen cy of Distribut ion	Number of Househo lds	Numb er of Individ uals	Total Transfer Value	Total Commodity Transfer (Tonnage if Applicable)	Other Costs (Freight, Staffing, Overhead)	Total Cost
For Work (Cash/Food/Vouchers)	Cash for Work	Cash Transfer	Pulaski, Lonoke	Central	\$100	0.00 kg	70%	Household	6	Monthly	5,000	30,000	\$3,000,000	0.00 MT	\$1,500,000	\$4,500,000
General Distribution (Cash/Food/Vouchers)	General Food Distribution	In-Kind (U.S.)	Poinsett	Delta	N/A	17.00 kg	100%	Individual	6	Monthly	5,000	30,000	\$2,500,000	3.06 MT	\$2,000,000	\$4,500,000
Hygiene Promotion		Essential comple mentary Activity	Pulaski, Lonoke, Poinsett	Central, Delta	N/A	N/A	N/A	N/A	N/A	N/A	5,000	30,000	\$0	0.00 MT	\$2,200,000	\$2,200,000

## **2) Emergency Description**

Explain the food security emergency. Provide details outlining what portion of the population has been affected by the food security emergency (breadth) and the severity of current and projected food insecurity at the household level (depth).

Recognizing the need for rapid action and that available information will vary significantly based on stage of the emergency and context, please provide, as available:

- Specific indicators of food insecurity in the targeted geographic area  
Depending on the stage of the emergency, this might include leading indicators (such as rainfall, projected yields, FEWS NET projections, disruption of livelihoods, disruption of markets, price volatility, displacement, etc.) or following indicators (such as food consumption score, household hunger scale, coping strategies index, or seasonally atypical levels of malnutrition).
- Scale and Context  
How many people are affected and how severely in the targeted geographic area? How does that compare to the overall population in the targeted geographic area? How do current conditions compare to the seasonal trend historically as well as to the five year average?
- Social Dynamic  
Briefly describe the targeted community context with particular regard to ongoing tensions among identity groups and other aspects of social cohesion that need to inform the response, including attention to age and gender factors.
- Gap Analysis. How was the transfer value determined—how does it correspond to the food consumption gap of the target groups or a specific expenditure basket? What are the gaps in humanitarian assistance in terms of targeting of people, programming activities, and geographic areas?
- A map indicating the activity's targeted implementation areas.

If a published assessment is used (e.g., a UN appeal), cite the source. If citing assessment findings that are not publicly available, please include a copy of the assessment as an attachment to the application if possible.

## **3) Activity Design and Description**

This section should present the overall design of the activity. It should clearly present who will be targeted with what interventions/modalities, when, where, and how the assistance will be provided, and why the activity design is appropriate given the identified needs, and emergency description presented above. It is critical that this section clearly articulate how the various components of the activity—modality, essential complementary activity/ies—will address the identified needs and assistance gaps and contribute to the activity's food security and nutrition objectives. This section should also include discussion on the specific points below.

**a. Participants**

- **Targeting, selection, and eligibility verification methodology.**

Describe what targeting methodology will be used and what the targeting criteria will be for activity modalities/interventions. Discuss how the targeting criteria will prioritize assistance based on need (e.g., targeting decisions based on age, nutritional status, length of displacement, loss of household assets, or usage of negative coping mechanisms). Discuss how community members will participate in the needs assessment, targeting, and eligibility verification process. Describe how the activity will ensure that each individual and/or household's eligibility (as per the approved activity selection criteria) is adequately documented within the activity's database. Include details on how much time (i.e. number of days) will be allotted to carry out the targeting, selection, and verification process.

Include estimates for the total number of participants (individuals) who fall into the following categories: refugees, internally displaced persons (IDPs), and other. For activities proposing activities in multiple geographic administrative units, please provide a breakdown of the aforementioned participant groups for each.

If multiple modalities or tiers of entitlements are proposed, please include details as to how decisions will be made as to who receives which modality. If the configuration—geographically or among target populations—is expected to change rapidly due to conditions on the ground, clarify if flexibility between modalities is requested to be approved within the scope of a prospective award and to what extent. In order for such flexibility to be considered, the applicant must provide an initial estimated breakout by modality and propose clear parameters as to when, how, and why deviations would be authorized. **Flexibility will not extend to any modality that is not included within the initial scope of the application. Any post-award change to modality(ies) outside of the original scope must be discussed with the Agreement Officer's Representative first and approved by the Agreement Officer.**

- **Social dynamics**

Explain how the social dynamics (e.g. related to gender, youth, between different identity groups) in the targeted communities have informed the proposed targeting strategy; how the activity has integrated the principle of “do no harm” into its targeting design and implementation strategy; how the activity proposes to mitigate and/or address any negative impacts of the activity's targeting; and how targeting individuals within a household or community will impact (positively or negatively) household and/or community dynamics.

Be specific about how the activity design accounts for gender roles in the targeted population and any asymmetries that may result in disproportionate vulnerability, access to services, or ability to participate in and benefit fully from the activities proposed within this application. The activity design should adhere to gender best practices in emergency settings—such as those outlined in [IFRC's Minimum Standard Commitments to Gender and Diversity in Emergency Programming](#)—tailored to the context in which the activity is being implemented.

Describe what steps the activity will take to communicate with youth to determine the best way to engage them in program activities. Applicants should ensure that if they are proposing for-work or for-assets activities, that the nature of the work be reasonable and not place undue or strenuous physical hardship or burden on participants.

Applicants are encouraged to account for highly vulnerable sub-groups in targeting, such as households with adolescent girls at risk of early marriage and households that have been marginalized, outcaste or stigmatized as a because they are victims of gender-based violence (GBV) and as a result are highly food insecure."

**b. Accountability to Affected Populations**

Local knowledge is an essential part of designing and implementing effective programming. Applicants are required to include local populations in all stages of activity design, targeting, implementation, monitoring and evaluation. Applicants should clearly state how they intend to communicate with women about what their preferences are for both food assistance and complementary activities, what they feel the risks are within their households, and what support they feel they may need to be allowed to participate in program activities. Applicants must describe how they plan to incorporate local feedback in each stage of the activity. It is not sufficient simply to say feedback will be incorporated. Be specific in the methods that will be used to encourage feedback, how regularly this feedback will be solicited, and importantly, how the activity will not only "close the feedback loop" by ensuring direct responses are given in a timely manner to all local feedback, but also how activity accomplishments and issues will be shared with the communities to increase ownership of activity results. Applicants should look to [IASC's Five Commitments to Accountability to Affected Populations](#) to ensure target populations are included.

**c. Conditionalities, restrictions, and community contributions**

Explain whether the assistance provided will be conditional or unconditional, restricted or unrestricted. Provide a rationale for how and why these conditions/restrictions are deemed appropriate to meet activity objectives, how they will be applied in implementation, and if the application of the proposed conditionalities and/or restrictions will differ based upon the levels of vulnerability or characteristics of the activity's various target groups, such as age or gender. In addition, the applicant should explain clearly how they intend to socialize what interventions they intend to implement, whom from the community they may engage, and what steps they will take to ensure communities and key influencers in the communities support the program design and implementation to mitigate conflict. For example, if the activity intends to engage female community volunteers, what does the applicant intend to do to prevent risk to the volunteers and mitigate conflict both in public and private spaces.

Estimate how much time individuals will be expected to spend participating in activity interventions, where applicable. Explain whether and how community volunteers will be compensated for their contributions to the activity. Address if and how conditional activities will align to seasonal agricultural activities.

**d. Essential Complementary Activities**

Demonstrate how any proposed essential complementary activities will directly or indirectly contribute to the achievement of the food and nutrition objective(s) of the activity, as well as how they will strengthen the overall impact of the food assistance transfer modality/ies proposed. Describe how these enabling activities will address the assessed, unmet and disaster-related needs of the target groups. Provide a detailed description of the proposed technical approach(es) for these essential complementary activities.

See the [Eligible Modalities](#) section for more detail on the types of essential complementary activities that are eligible for funding under this APS. Please note that essential complementary activities include those activities that are separate from the implementation of a core transfer modality but that directly or indirectly contribute to achieving the food security and nutrition objectives of the activity (e.g., the tools to implement a Cash for Work activity should be treated as part of the Cash Transfer modality, but if inputs were distributed for use outside of the Cash for Work activity, the input distribution would constitute an essential complementary activity).

For activities proposing seed provision, the APS requires either the purchase of certified seed or the confirmation from the purchasing organization that seed quality assurance practices will be undertaken and records will be maintained in the event that USAID wishes to review them. Seed testing should include, but may not be limited to, seed germination testing and visual inspection for damaged/infested seed. Further guidance on this type of intervention can be found in ADS 312.

**e. Partnering**

Identify planned implementing partners (including sub-awardees) and what the division of labor will be between all of the activity implementers. If partners have not yet been identified, explain the process by which partners will be identified, vetted, and selected. If the applicant intends to partner programmatically with the host government, describe the nature and history of the relationship with the government, as well as the government's roles and responsibilities within the activity.

Please note that it is the applicant's responsibility to be aware of any partner vetting requirements for the proposed country.

**f. Coordination**

Describe what International and Local NGOs, UN agencies, host government authorities and other key stakeholders are doing in the proposed target areas of the activity, being sure to clearly articulate how the activity will address the most critical emergency-related food security and nutrition needs not being addressed by other actors, how it will link and complement other programs (as appropriate), and how it will be implemented in line with international standards and protocols. Describe how the proposed activity is aligned and/or coordinated with other food security and nutrition assistance in the region/country, particularly in regard to other FFP-funded activities. Describe how the activity will engage with humanitarian coordination mechanisms at the national and sub-national levels, including how information will be gathered. Include information about past experience working in the targeted communities.

**g. Exit or Transition Strategy**

Though activities proposed cannot exceed certain timeframes per this APS, some activities may be less than the permitted timeframes. Please describe the rationale for the proposed activity duration. Describe the exit strategy or transition strategy (for organizations continuing operations for the same participants) for the activity based on the anticipated food assistance needs, overall approach and the proposed timeline of activities. Present a realistic appraisal of what opportunities are likely to be available to participants at the end of the activity. Is the objective to provide sufficient assistance to enable households to support themselves by the end of the activity? Or, if the need for assistance does not end at the end of this award, what will come next for the participants? Describe communication strategies for information participants of the program's end and include information on beneficiary involvement for the exit or transition plan. Include information on if/how the interventions may contribute to communities finding durable means to meet their own food security needs as appropriate.

**4) Operations and Logistics**

This section should articulate the capabilities and capacities of the applicant and its sub-awardees to execute this activity. In addition to describing how the proposed activity management structure, staffing and staff training plans, operational infrastructure, and logistical plans will contribute to activity outcomes, discussion of the following aspects of activity design must be included:

**a. Rations**

For in-kind distributions—including Title II U.S. in-kind or LRIP—provide details on the food ration composition (food commodity type and quantity) per individual and/or participant group. If in-kind food rations are distributed by more than one agency in the country, discuss whether and how the in-kind food ration compositions are complementary and/or coordinated across the relevant actors.

For activities proposing cash transfer and food voucher modalities, explain how the cash/voucher transfer value was determined and how it relates to the food needs of an individual or household (e.g., the food component of the minimum expenditure basket). Provide an illustrative basket of commodities and respective costs of that basket. If transfers/voucher rations are distributed by more than one agency in the country, discuss whether and how the food assistance transfer values are complementary and/or coordinated across the relevant actors.

For activities proposing a food voucher modality, include a list of all products or goods that will be redeemable with the food voucher and provide a justification for the composition of that list. If there are conditionalities or restrictions on the vouchers, explain how they will be applied and monitored, and why they have been included.

**b. Distribution Methods**

Describe and justify the distribution method(s) proposed for each food assistance modality and any conditions for participants to receive the food assistance. Describe how the proposed



distribution method(s) has/have taken into consideration the needs and protection of men, women, boys, and girls.

For activities proposing Food/Cash/Voucher for Work (or for Asset) activities, describe how many days participants will work per month and the amount of time per day. Identify what types of work activities will be implemented. Describe how compensation will be set, and confirm that the method for setting compensation aligns with humanitarian best practices and is coordinated with other partners implementing similar activities in the country. It is generally advisable to set the compensation for humanitarian activities slightly below the casual labor wage rate but partners should align to any coordinated emergency standards on for-work wage rates established for the specific crisis to which they are responding.

For activities proposing in-kind food distribution (Title II or LRIP), cash transfer and/or food voucher modalities, describe the proposed delivery mechanism to be used (e.g., general distribution, supplementary and therapeutic feeding, food/cash/vouchers for work, food/cash/vouchers for assets), how many and how often distributions will take place the roles and responsibilities of the awardee, sub-partners, or contractors (e.g., financial service providers, participant management systems, local organizations).

For activities proposing a food voucher modality, explain whether the voucher has a fixed monetary value or commodity value, how the activity will adjust if inflation or other factors affect the transfer value, vendor selection and voucher redemption processes and price negotiation (if any), and vendor convenience factors such as denominations of food vouchers, expiration dates (if any).

For all distributions (regardless of modality): 1) provide an estimate on the farthest distance/travel time the activity will allow between participants and vendors/distribution/market sites; and 2) describe the measures the activity will take to minimize the burden on those most likely to experience difficulties accessing transfer distribution points.

Per [USAID Procurement Executive Bulletin No. 2014-06](#), partners must use electronic payments where the operating environment permits. Waivers can be requested if the political, financial, or communications infrastructure in the country cannot support electronic payments or if other exception criteria outlined in the bulletin are met.

**c. “Do No Harm”: Protection, Conflict Sensitivity, and Gender-based Violence (GBV) Mitigation**

Identify specific “do no harm” concerns related to protection, conflict, and sexual and gender-based violence associated with the proposed activity design and present the mitigation strategies that will be used to safeguard activity participants and staff involved in, or receiving, emergency commodities, cash transfers, food vouchers, and/or essential complementary activities. Include attention to any heightened risk within the local context among specific population groups (e.g., women, girls, ethnic/social groups, disabled). Discuss what strategies will be employed to identify and mitigate the unintended but potential negative impacts of the activity on target communities and populations, both targeted and untargeted, including but not limited to gender

based violence. Applicants should clearly state what their GBV mitigation plan is and how they plan to address risks men, women, boys, and girls may report facing within their households and what they will do to redress this situation.

Applications must articulate how conflict sensitivity and an understanding of conflict dynamics will inform interventions and adaptive management throughout the entire program cycle. Applications must identify how programming will impact existing social dynamics (gender, age, ethnicity, etc.), and how local input will be solicited to mitigate unintended consequences.

Please note the following core protection principles:

- Minimizing any unintended negative effects of your intervention that can increase people's vulnerability to both physical and psychosocial risks and result in harm, exploitation, and abuse;
- Arranging for people's meaningful access to impartial assistance and services in proportion to need and without any barriers;
- Setting up mechanisms through which affected populations can measure the adequacy of interventions or address concerns and complaints; and
- Supporting the development of self-protection capacities of individuals and communities

Applications must articulate how the activity will apply conflict-sensitive approaches to all phases of the activity cycle. A conflict sensitive activity must at a minimum "Do No Harm", or avoid inadvertently contributing to conflict.

Together conflict sensitivity and the "Do No Harm" approach require an:

- understanding of the conflict context in which it operates, including intergroup tensions, divisive issues, as well as areas of common ground within/among groups can be leveraged to mitigate conflict and strengthen social cohesion;
- understanding the interaction between an activity, in action or words, and a conflict context;
- act upon the understanding of this interaction to avoid unintentionally feeding into further division and to maximize the potential contribution to strengthen social cohesion and peace.

#### **d. Market Analysis and Impact**

Please provide an assessment of the markets and an analysis of the potential impacts of the proposed modality.

An appropriate emergency market analysis should generally examine the following considerations:

- **Stability:** Price trend analysis (if available) examining price stability as well as integration for relevant commodities in proposed geographic areas as well as relevant source markets.

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- Competition: Issues with competition at different levels of the market system, and whether the proposed activity will positively or negatively impact the market dynamics (e.g., by increasing the power of a few large producers at the expense of smallholders). Note any entry/exit barriers for market actors.
- Availability: Local availability of relevant commodities as well as significant local and regional supply constraints that may affect the proposed activity (e.g., other large procurements or institutional purchases, poor harvests, import tariffs, restrictive trade policies) including scale of programming transfers relative to normal market volumes. Market actors' ability to respond to changing levels of demand. The analysis should demonstrate that vendors can respond to the increased demand that a cash/voucher activity will create, without causing a shortage of the commodities in question and/or causing prices to rise for other low-income consumers who are not part of the activity. Applicants must appropriately plan for seasonal fluctuations in agricultural harvests, food supply, labor markets, and food commodity prices. The analysis should demonstrate that the proposed activity is unlikely to do discernible economic harm to key market actors in the market-system, found in the locations of commodity origin and/or activity distribution.

Both quantitative and qualitative justifications are expected and can be based on information available at time of submission (either internally or from secondary sources). FFP understands that immediately following rapid onset disasters, data may be limited and therefore will prioritize the humanitarian imperative above granular market information. To assist in developing an analysis, USAID recommends consulting market assessment tools, including, but not limited to:

- [EMMA](#), or Emergency Market Mapping and Analysis
- [RAM](#), or Rapid Assessment for Markets
- [MAG](#), or Market Analysis Guidance
- [FEWS NET Guidance Documents](#)

Please see [FFPIB](#) for additional details on market analysis requirements for emergency awards.

Please see [FFPIB Eligible Uses of Section 202\(e\); Internal Transportation, Storage and Handling; Inland Freight, Monetization Proceeds; and Community Development Funds for FFP Awards](#)

Applications that include the provision of seeds and tools should include a seed system security assessment (or evidence from an assessment) to determine the correct distribution methodology. Tools and guidance can be found at [www.seedssystem.org](http://www.seedssystem.org).

Applicants may also refer to the [Minimum Requirements for Market Analysis in Emergencies](#) developed by the Cash and Learning Partnership for information on appropriate scope and rigor of emergency market assessment.

**e. Commodity Procurement Table**

For local and regional procurement activities, include a table detailing the intended commodity procurement, including source and origin countries and estimated commodity cost per metric ton (MT). Describe how the commodity will be procured (e.g., open competition, limited competition from pre-approved vendors, commodity exchange, negotiated agreements with cooperatives, forward contracting, etc.), the anticipated shipping/transport means, the dates of departure from the country of origin and arrival to country, and the planned start date of commodity distributions to the targeted activity participants as applicable. If the applicant anticipates purchasing commodities from a foreign government entity, the applicant must include the name of the entity and associated government, and demonstrate that the estimated purchase price is a fair market price.

Commodity	MT	Source	Origin	Commodity Cost	Ocean/Inland Transportation Cost	Procurement Method

**f. Commodity Safety and Quality Assurance**

In-kind commodities procured in the U.S. are subject to U.S. Department of Agriculture (USDA) safety and quality assurance inspections and auditing. Locally and regionally procured commodities must also meet similar safety and quality standards, and be approved by USAID.

- **Local and Regional Procurement:** For local and regional procurement of commodities, a preventive food safety and quality approach is recommended, with the following main components:
  - **Commodity Specifications.** Awardee should obtain commodity specifications and ensure compliance of these specifications with the local and recipient country standards, as well as USAID commodity requirements when applicable. The following steps are recommended: a) Obtain commodity specifications from the US Government when possible and in cases where the commodity is part of USAID Title II programs. Commodity specifications can be found under [Food Aid Product Descriptions](#) on the USAID website or on the [Farm Service Agency's website](#); b) In absence of USG commodity specifications, obtain specifications from [WFP](#) and or local country bureau of standards provided that such specifications have gone through a validation process; c) Jointly review specifications with suppliers to make sure there is clear understanding and expectations around quality, safety and delivery terms when awards are made.

- **Food Safety and Quality Assurance at Source.** In order to ensure food safety and quality at source, the following steps are recommended to awardees:
  - Food suppliers must provide Certificates of Analyses (CoAs) to demonstrate compliance at source. A CoA per lot of production being shipped out should be part of the awardee-vendor agreement.
  - Food vendors must go through annual food safety and quality audits. If several awardees are procuring from the same food supplier, and similar commodities, these awardees are encouraged to coordinate among them to arrange for only one annual audit for common suppliers. Alternatively, in order to minimize cost, and given the fact that there is reciprocity between USAID and WFP in terms of food safety and quality compliance, if an awardee is procuring the same commodities from the same suppliers as WFP, current WFP required valid audits (within a year) can be acceptable. Awardees should discuss this with WFP.
  - In addition to CoAs and annual audits, awardee should have their own third-party inspector verifying the loading of commodities onto trucks, at source, and should arrange to take random samples for testing and cross-checking the level of quality and commodity integrity compliance. Exhaustive sampling and testing is not necessary, if reliable CoAs are produced and satisfactory auditing reports are obtained. The scope of the third-party inspection from recognized service providers will depend on procured volumes and intensity of the procurement activity.
- **Awardees Quality Assurance (QA) Resources.** Even when awardees show good and compliant logistic capacity, the hiring of an in-house food technology, food safety and quality resource is required, in order to ensure safe and effective food delivery. Each awardee should consider hiring a staff member with experience in quality assurance (QA) and warehouse management. The awardee should present, for subsequent bids, the profile of a QA staff, as part of their institutional capability statement.
- **Quality Assurance in Extreme Conflict Conditions.** If procured commodities is done in extreme conflict conditions where access to manufacturing sites, warehousing and testing facilities is very limited or nonexistent, partners will have to obtain as much information as possible detailing how the product is produced (Good Manufacturing Practices) and handled. Partners must obtain samples of commodities and at least do the testing out of the extreme conflict area (i.e. in a neighboring country), even when testing happens after food has been distributed. Sampling and testing do not have to be of every lot produced, but at the very least significant samples to allow USAID to assess whether the food provided to people was safe and nutritious. This would allow USAID to generate data for historical memory and to reassess programs subsequently. This will also allow USAID to make changes or assess different options, should the safety and nutrition of the product be compromised.
- **Protection of commodity during transportation.** The movement of food from the supplier's premise, whether to customs-bonded warehouses and/or distribution to end users, are segments of the supply chain that need well defined procedures to ensure

integrity of commodities and avoid replacement or subtraction of commodities. The following are recommended steps to be discussed with vendors:

- Use unique, “smart” truck and/or container seals, particularly during the shipment from vendor to awardees warehouse or final distribution sites. If possible, tamper-evident seals that are verified both during loading and unloading should be used.
- Institutionalization of a Truck Driver Policy, indicating the “dos and don'ts”.
- A standard operating procedure (SOP) for truck unloading, which includes checking seal numbers to make sure they match Bill of Lading (BOL) information.
- Establishment of handling procedures for CoAs: a) who receives the CoAs; b) when and by whom will the CoA be compared with specifications; and c) where and for how long are CoAs going to be retained.

For activities proposing a food voucher modality, it is expected that the in-kind commodities available for purchase by voucher participants meet the commodity standards of the recipient country. If proposing a food voucher modality, please identify what procedures will be implemented to ensure that vendors provide food of acceptable quality.

Additional guidance on commodity management can be found in the [Commodity Management Toolkit](#) on the TOPS website.

The following documents are recommended commodity-oriented guidance for activities that specifically target infants and young children as participants:

[Guidelines on Formulated Supplementary Foods for Older Infants and Young Children CAC/GL 08-19911](#)

[Codex Standard for Processed Cereal-based Foods for Infants and Young Children CODEX STAN 074-1981, REV. 1-2006](#)

[For non-breastfed infants](#) USAID endorsed [Infant and Young Child Feeding in Emergencies: Operational Guidance for Emergency Relief Staff and Programme Managers V. 3. Chapter 6. French version](#)

#### **g. Activity Detailed Implementation Plan**

Present a detailed activity implementation plan for the activity that clearly articulates the sequencing of all activity operations and activities, including activity start up, implementation, activity management, monitoring and evaluation. This timeline must include the proposed activity start/end dates and the timing and duration of activity distributions and activities of any kind—whether Title II commodities, locally and regionally procured commodities, cash transfers, food vouchers, and essential complementary activities. Additionally, core implementation processes, such as the participant selection processes, staff and participant capacity building, stakeholder consultations and/or counseling, and the steps involved in implementing effective and participatory essential complementary activities, should also be articulated in the overall activity implementation plan.

For activities proposing an in-kind commodity modality, include the key steps involved in the procurement, transportation, storage, handling, distribution, and post-distribution monitoring.

For activities proposing cash transfers and food voucher modalities, include the key steps involved in implementing and monitoring and evaluating these modalities, including but not limited to the drafting and printing of food vouchers, the creation of agreements and/or contracts with participating financial institutions and/or vendors, scale and frequency of cash/voucher distributions, and how/when the distributions are tied-in to activities such as cash for work/vouchers for work, food voucher reimbursement timelines for vendors, etc.

#### **h. Adaptive Management Approach**

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

This must include a description of:

- Adaptive management approaches that will enable feedback cycles that foster experiential learning and analysis of data from assessments, surveys, research, and routine monitoring, as well as scenario planning around activity responses to anticipated shocks and/or changes in the political, social, environmental or market context. The applicant should describe the management processes that will enable the application of analysis and learning in adjustments to the Implementation Plan.
- Performance management strategies that measure how interventions contribute to achieve intended outcomes. These should include a description of how the applicant will monitor for, identify, and, through linkages with adaptive management strategies, address implementation quality issues throughout the life of the award.
- Monitoring and adaptive management for unintended consequences of the award/activity.

#### **5) Organizational Risk Assessment (ORA)**

All applicants are required to complete an assessment of risk for fraud, waste, and abuse associated with the proposed activities, as well as a description of how the organization proposes to reduce such risks within the proposed program. The application must address risks arising internally within the organization as well as from third parties. Risk mitigation strategies must address sub-awarding (if planned), vendor selection, and activity management. The below are key points to address in the ORA:

- Conflict of interest policy
- Whistleblower hotline
- Ethics training
- Cybersecurity procedures
- Banking protocols
- Procurement policies
- HR policies



The assessment should also consider elements as defined in the [GAO Standards for Internal Control in the Federal Government](#), or Green Book, around the control environment, control activities, information and communication, monitoring, as well as how risks will continually be evaluated.

In addition, the USAID Office of Inspector General's reference handbook is found [here](#).

USAID recognizes that certain operating environments present a heightened risk of waste, fraud, abuse, and diversion due to the presence of groups and individuals sanctioned by the U.S. Government (USG) and limited ability of FFP personnel to directly monitor program implementation. Applicants are also required consult guidance linked below, and for the countries listed submit the required additional information in this assessment annex:

- [OFDA Guidelines on Risk Assessment and Mitigation Requirements for High-Risk Environments](#)

## **6) Protection Risk Assessment**

All partners are required to undertake a protection risk assessment which will present an analysis of the potential protection risks (including, but not limited to sexual abuse and exploitation (SEA), safety and security) to local communities and activity participants as well as a plan for how to mitigate and address these risks in a timely and effective manner. The analysis of this risk assessment should be integrated into the overall activity design and should take into consideration factors that may affect participants after they have successfully taken possession of resources; however, the specific findings and proposed mitigation measures will be presented as an annex to the application.

The protection risk assessment will include analysis of:

- a) Preexisting protection concerns in the proposed activity area (inclusive of concerns to vulnerable groups including women, youth, the elderly, disabled, minority groups);
- b) Anticipated and potential risks to local communities, activity participants, and activity staff as a result of their engagement with the activity;
- c) How the activity will plan for and implement risk mitigation to minimize protection-related risks;
- d) How the activity will engage communities and target populations in monitoring, mitigating and addressing the potential risks.

In terms of protection from sexual exploitation and abuse (PSEA) for participants and activity staff (whether involving activity staff or not, and including activity contractors, and sub-grantees), please describe how the activity will monitor for this, as well as manage potential cases internally to the activity and externally with communities and according to relevant local laws.

This annex should also reference and address the principles of the applicant's code of conduct (see section H 2 of this APS), which is required as a condition of an award under this APS. The applicant must provide details on how the code of conduct will be implemented, including:

1. How employees are trained or otherwise made aware of the Code of Conduct,
2. How violations of the Code of Conduct against beneficiaries are reported and followed up on in a safe and confidential manner,
3. How beneficiaries are made aware of the Code of Conduct and a mechanism to report any violations, and
4. Whether or not there is a focal point in the country or regional office for the Code of Conduct.

Applicants must demonstrate that due consideration has been given to ensuring the security and protection of all participants and staff while engaged in activity-related interventions, especially in regards to: the timing and location of distributions; amount of food or cash transfers or value of food vouchers of which participants will take possession; person(s) responsible for pickup; etc. For more information on this topic, please consult the sample risk matrix available at [The Remote Cash Project](#) website and the USAID Office of Inspector General's reference handbook found [here](#).

## **7) Inventory Oversight**

The application must include a description of organizational inventory processes and standards used for warehouse operations associated with the proposed program. The application must also include details about any warehouses to be used for the proposed activities, specifically:

- The size of the warehouse;
- Whether the warehouse is shared or leased space;
- Whether the warehouse is climate controlled; and
- The intended use of the warehouse.

If the proposed activity includes procurement of specialized goods for which USAID regulations stipulate specific storage requirements, such as pharmaceuticals, food, and seeds, USAID/FFP must review and approve the inventory processes in advance of approving the procurement of the items. If the proposed activity does not include warehousing but involves utilization of a third party shipper or third-party storage facility, details on the storage facility and shipping processes and policies should be provided within 30 days of the award.

## **8) Monitoring and Evaluation (M&E) Plan**

The purpose of the M&E Plan is to provide a framework for activities to demonstrate accountability and improve the quality of activity implementation and outcomes for participants. Applicants must submit an M&E Plan that describes the applicant's approach to program design, evaluation, and monitoring of activity performance and the operational context. The M&E Plan must include a Logical Framework, Evaluation Plan and Monitoring Plan.

### **a. Logical Framework (LogFrame)**

Applicants must submit an M&E Plan including a Logical Framework (LogFrame) that shows the causal linkages between activity outputs, outcomes and goals, identifies assumptions and

potential risks that are critical to the success of an activity, and includes key indicators with proposed targets to track the activity's performance with final targets.

The LogFrame consists of a matrix with four or more columns and many rows, summarizing the key elements of an activity.

- Narrative summary: The activity's hierarchy of objectives (Goal, Purpose(s), Sub-purpose(s), Intermediate outcome(s), and Outputs) as appropriate.
- Indicators: How the activity's achievements will be monitored and evaluated. Indicators should be linked to the activities and outcomes. Targets are required for all indicators except those that monitor the operational context, and should be ambitious yet achievable.
- Data Source/Methods: This column should provide a short summary of the data source and methods that will be used to measure the indicator. For example, FCS may be measured by a participant-based survey at baseline and endline, and through PDM. Be as specific as possible, and avoid generic terms like "project records." This description should provide enough information so that a reviewer would know where to look in the M&E Plan for a more detailed description of the methods that will be used.
- Assumptions: The contextual environment and key external factors critical to the activity's success.

Applicants must provide all of the monitoring and evaluation indicators and associated targets (targets may be revised after baseline data collection with approval from FFP) and disaggregations, as applicable, in the Logframe. All individual-level indicators must be disaggregated by sex. Three indicators (please see the [PIRSs](#)) should be disaggregated by age. FFP also recommends that all household-level indicators are disaggregated by gendered household type (Adult Female No Adult Male, Adult Male No Adult Female, Male and Female Adults, Child No Adults).

All activities must include the following required and required if applicable indicators in the LogFrame.

#### **Summary Table of FFP Emergency Food Security Indicators**

Indicator Title	Required (R) / Required if Applicable (RiA)	Monitoring (M)/ Evaluation (E)	Applicability Criteria
E1. Number of individuals participating in USG food security programs.	R	M	All activities.

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E2. Percentage of households with poor, borderline, and acceptable Food Consumption Score (FCS)	RiA	M, and E	Activities 6 months or longer in duration that provide in-kind, non-therapeutic food, cash or voucher transfers.
E3. Reduced Coping Strategies Index (rCSI)*	RiA	E	Activities 12 months or longer in duration that provide in-kind, non-therapeutic food, cash or voucher transfers.
E4. Prevalence of households with moderate or severe Household Hunger Scale (HHS) score.	RiA	E	
E5. Number of children under five (0-59 months) reached with nutrition-specific interventions through USG-supported programs	RiA	M	Activities (of any duration) targeting children under five with nutrition specific interventions including social and behavior change communication that promote essential infant and young child feeding behaviors.
E6. Number of pregnant women reached with nutrition-specific interventions through USG-supported programs.	RiA	M	Activities (of any duration) that target pregnant women with nutrition-specific interventions including counseling on maternal and/or child nutrition, multiple micronutrient supplementation, and direct food assistance of fortified/specialized food products.
E7. Number of children under two (0-23 months) reached with community-level nutrition interventions through USG supported programs	RiA	M	Activities (of any duration) that target children under two with nutrition interventions at the community level.
E8. Number of individuals receiving nutrition-related professional training through USG supported programs	RiA	M	Activities (of any duration) that provide training on basic and applied nutrition-specific or nutrition-sensitive topics to health professionals, primary health care workers, community health workers, volunteers, policy-makers, researchers, students, and non-health personnel.

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E9. Prevalence of acute malnutrition	RiA	E	Activities 12 months or longer in duration that aim to reduce or stabilize acute malnutrition prevalence.
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\*FFP expects that no targeted households should be in the "Poor" category of FCS at endline. Therefore, the target for this category of FCS should be zero.

Activities proposing nutrition, agriculture, gender or other complementary activities should add custom indicators where there are no corresponding FFP or OFDA indicators, with preference for indicators from the [IASC Emergency Indicator Registry](#). All complementary nutrition activities must have at least one outcome indicator.

The following required if applicable output indicators required for annual reporting should also be included in the LogFrame:

Local, Regional, and International Procurement (LRIP Commodity):

- Quantity procured (MT), by commodity
- Quantity distributed (MT), by commodity
- Number of unique households receiving in-kind food
- Number of unique participants receiving in-kind food

Cash Transfers and Food Vouchers:

- Total amount distributed (US \$), by modality (cash and voucher)
- Total redeemed value (US \$), by modality (cash and voucher)
- Number of unique households receiving support, per modality (cash and voucher)
- Number of unique participants receiving support, per modality (cash and voucher)

For reference materials and supporting information regarding LogFrames, see the [USAID December 2012 Technical Note on Logical Frameworks](#).

### **b. Evaluation Plan**

USAID/FFP requires that all awards that are 12 months or longer in duration, must conduct a baseline study and a mixed-method final evaluation (Exceptions to this requirement can be requested for responses immediately following a sudden-onset disaster (e.g. hurricane, earthquake, tsunami, flood, cyclone, etc.)). Activities that work with multiple cohorts of participants with short-term interventions may be exempt from the baseline and final evaluation requirement. Abbreviated statements of work (SoWs) must be submitted with the application (one for the baseline study and one for the mixed-method final evaluation). FFP encourages a mixed-method baseline study when possible. Awards that are less than 12 months in duration, are encouraged to conduct evaluations, but are not required to do so.

- **Baseline Studies**

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The baseline study must include a quantitative participant or population-based survey. The baseline survey must:

- Include a probability sample at the participant or population level in the activity area, and be designed to produce values that will be compared to results from an endline survey so that change can be measured and tested for difference. Please review the [FFP Guidance for an Abbreviated Statement of Work \(SoW\) for a Baseline Study and Final Evaluation for Emergency Programs](#) for sample size estimation. The SoW guidance provides different scenarios and sample sizes, if the different sampling parameters are comparable to one of the scenarios, an applicant may want to use the proposed sample size and sampling strategy.

The abbreviated SoW should include all sampling parameters and reference so reviewers can re-estimate the sample size

- Complete quantitative data collection within 90 days of the approval of the award, and submit a final copy of the baseline study to the Agreement Officer Representative (AOR) and for NGO/PVO partners, the Development Evaluation Clearinghouse within 150 days of award approval. All survey datasets (baseline and endline) must be submitted by NGO/PVO partners to the Development Data Library (DDL). Partners conducting rolling baselines that will continue beyond the first 90 days of implementation may request extensions to the submission deadlines. For dataset submission guidance refer to [ADS 579](#).

When feasible and appropriate, applicants can collect participant baseline data at the time of participant registration rather than through a separate survey. Instead of collecting baseline data from all participants, awardees can collect the data from a systematic random sample of participants as they are registered. Should an applicant decide to collect baseline indicator data from all participants, and endline data from a sample of participants, it is important to note that the baseline and endline data cannot be tested for differences as is. While applicants are encouraged to ensure that data collection occurs prior to the start of in-kind, cash or voucher distributions, activities may commence resource distributions prior to the completion of the baseline survey, in order to meet life-saving needs and objectives.

The baseline survey should include all R, RiA, and Custom outcome indicators included in the LogFrame.

Activities 12 months or longer with an objective to reduce or stabilize acute malnutrition must include prevalence of acute malnutrition (indicator E9) for the targeted participants in the baseline and endline surveys. The baseline and endline surveys must include a measurement of acute malnutrition measured by either weight for height or Mid-Upper Arm Circumference (MUAC) and edema. Activities that propose nutrition sensitive interventions or IYCF interventions but do not have an objective to reduce acute malnutrition are not required to measure acute malnutrition.

FFP encourages activities to consider collecting other indicators in the baseline survey that are relevant to the objectives, interventions and context of the activity. Activities proposing nutrition, agriculture, gender or other technical sectors or cross-cutting components, can consult OFDA and/or [“The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response” \(SPHERE\)](#) indicator lists.

- **Final evaluation**

The final evaluation must be conducted either by an internal team led by an experienced external team leader or a third party firm. The team leader must be external to the organization. Awardee staff that are not substantially engaged in the design or implementation of the activity under evaluation may participate in the final evaluation. USAID Mission and or FFP staff can also participate in final evaluations.

Quantitative endline surveys must include a probability sample at the participant or population level in the activity area that is consistent with the baseline survey, and be designed to produce values that will be compared to results from a baseline survey so that change can be measured and tested for difference. Applicants are encouraged to ensure that data collection for baseline and endline surveys occur at the same point in time (during the year), to the greatest extent possible.

### **c. Monitoring Plan**

Applicants must provide a narrative that describes the activity’s monitoring strategy. The monitoring strategy must describe all the monitoring activities that applicants plan to conduct with a proposed methodology for each monitoring activity and data management.

At a minimum, monitoring activities must include post distribution and operational context monitoring plans. Post distribution monitoring (PDM) must track as relevant activity aspects such as utilization of household food assistance, household food consumption, participants' satisfaction with food assistance, timeliness of the assistance, participants’ perception about gender and protection considerations, safety and security, vendor feedback, teacher perceptions of school-based activities, access to and effectiveness of participant feedback loops and other factors associated with the transfer of the entitlement. If the activity changes modalities at any point (e.g. introducing cash into what had previously only been in-kind distributions), the implementer should conduct a post modality change evaluation to examine the effect of the shift on household dynamics with special attention to feedback from women and youth. The plan for PDM should include the following components: indicators collected, survey design, sampling frame, sample size calculation, sample selection, and analysis.

The application must also include an operational context monitoring plan that describes the operational context issues that may impact activity and how these issues will be monitored. The operational context must identify the indicators and data collection methods. If reliable secondary data sources are available, activities may utilize these but should indicate the source.



At a minimum, the operational context monitoring plan must monitor the price and availability of staple food commodities. Applicants must identify the commodities that will be tracked, the locations, and the frequency of market monitoring.

In addition, partners should consider how to measure programming influence on market actors. The [MARKit: Price Monitoring, Analysis and Response Kit](#) developed by members of the LRP Learning Alliance is an example of one of the community toolkits available to help interpret and react to market information collected during an activity. If specific thresholds are to be established to signal the possibility of a distortion, please describe the process that will be used to identify those thresholds. FFP also encourages applicants to consider monitoring morbidity, mortality, casual labor rates, terms of trade and other contextual information using secondary data as available and appropriate.

As part of the Monitoring Plan, the applicant must include a data management plan that describes how it intends to manage data at all stages, from collection to reporting to ensure consistent handling, quality standards and the protection of participant data. The plan should include a summary of data quality assurance, data security protocols and data use processes, protocols, and standards.

#### **d. Post award requirements**

Within 120 days of the award, the successful applicants are required to submit an indicator table, which should include all indicators, baseline values, data sources, targets, data collection frequency, and data collection methods. The successful applicants must also submit performance indicator reference sheets (PIRS) for each of the indicators that it will collect within 90 days of the award. Note that FFP provides PIRS for all required and required-if-applicable indicators. You can find FFP PIRS [here](#).

USAID may include additional monitoring and evaluation requirements. Please see the Post-Award Reporting section for minimum reporting requirements. The PDM reporting should describe how participants use food assistance transfers (consumption and/or expenditure patterns dependent upon modality), whether that usage is consistent with the activity design, and other sources of household food, issues, and challenges. Applicants are encouraged to collect outcome indicators on a regular basis to track change during the activity (Note that baseline/endline sampling approach is different from PDM, and hence their data should not be compared). Additional guidance on M&E can be found on the [FFP Implementation Tools page](#), including the *Policy and Guidance for Monitoring, Evaluation, and Reporting for Emergency Food Security Activities*.

#### **9) Cost Application**

- All budgeted costs must be in U.S. currency, be presented in Excel or compatible equivalent, and must use calculation formulas.
- For the cost application, clearly identify the type of emergency food assistance modality proposed and break out all costs associated with each modality into separate columns.



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- Every cost (e.g., staffing, administrative, training/capacity building, etc.) must be captured in at least one modality column.
- In-kind components do not need to be broken out by intervention (i.e. by nutrition, GFD, food for assets, etc).
- If the applicant is requesting only Title II U.S. in-kind resources or only resources for market-based food assistance, then only *one* cost application is required.
- If the applicant is requesting both Title II and IDA resources, the applicant should submit *two separate* cost applications, one for Title II in-kind resources using the commodity calculator and including applicable Internal Transport, Storage and Handling (ITSH) and Section 202(e) funding requests, and one for the other market-based assistance.

**Note:** The cost breakdown by market-based modality (local, regional and International procurement, cash transfers, food vouchers and essential complementary activities) must, when added together, equal the total funding amount requested. In other words, all line item costs must be associated with one or more modalities. If the applicant is requesting both Title II in-kind and market-based resources, then the sum of the two cost application totals must equal the total funding request.

- Costs should be further broken down by food voucher activities, cash transfer activities, commodity procurement, transport, shipping and handling costs, and activity intervention costs, delineated by resources provided through this APS, non-USG cost-sharing, if any (see 2 CFR 200.307), other USAID funding broken down by operating unit and type, if applicable (e.g., FFP Title II, FFP EFSP, OFDA, etc.), and/or other non-USAID USG funding, as applicable. (See the link to the budget template below.)
- For select market-based modalities (specifically, local and regional procurement), the applicant must pay market competitive prices for commodity procurements. To assist in this analysis, applicants may use comparative price calculations. Applicants must explain the approach to be used to ensure competitive pricing.
- All costs for essential complementary activities must not exceed 20 percent of the total proposed budget, including all supporting costs for these award components such as staff salaries and fringe benefits, equipment, other direct costs.
- A brief budget narrative must be included justifying all cost items, as well as any appropriate supporting documentation, e.g., Negotiated Indirect Cost Rate Agreement (NICRA).
- For NGO/PVOs, the financial plan should meet the criteria contained in Subpart E-Cost Principles of [2 CFR 200](#), which will be used to determine whether the components of the cost application are allowable and reasonable.
- With regard to payment of local government taxes, awardees must comply with allowable cost principles outlined in [2 CFR 200](#). (Note: This does not apply to PIOs.) Applicants

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should use the following cost categories in their budget and provide a budget summary table. Other categories may also be included.

Please see the NGO/PVO emergency budget template on the FFP section of the USAID website [here](#).

1. Staff Salaries
2. Fringe Benefits
3. Overseas Allowances
4. Supplies and Materials
5. Travel and transport
6. Commodity Procurement, Transportation and Warehousing
7. Equipment at/or above \$5,000
8. Consultancy/Technical Assistance/Training
9. Contractual/Sub-awards
10. Other Direct Costs
11. Indirect Costs

PIOs may use budget categories used in appeals or other USAID funding requests.

See [FFPIB](#) on Eligible Uses of Section 202(e); Internal Transportation, Storage and Handling; Inland Freight, Monetization Proceeds; and Community Development Funds for FFP Awards.

### **10) USAID Environmental Regulations**

Currently, 22 CFR 216.2(b)(1)(i) exempts international disaster assistance activities from meeting USAID environmental requirements (e.g., Initial Environmental Examination, Environmental Assessment (IEE), Environmental Impact Statement), with the exception of the procurement and/or use of pesticides. Title II emergency programming also does not require IEEs. However, if the applicant has previous experience or a previous food aid activity with the same population, then an IEE may be required. Applicants are encouraged to assess the environmental impacts (e.g., changes in fuel wood/energy usage) of the proposed activity interventions and are also strongly encouraged to submit [a Rapid Environmental Impact Assessment \(Rapid EIA\)](#), as outlined on the FFP website. USAID environmental requirements are subject to change. Recipients will be required to follow rules in place at the time of any award.

Emergency activities should review the Sphere Handbook which include consideration of environmental consequences of humanitarian action. Other applicable guidance on training tools and assessments may be found within the [USAID emergency food assistance website](#).

PIOs follow their own environmental policies and procedures, per [ADS 308.3.10.c](#). For any procurement and or use of fumigation or other pesticides for protection of food commodity, then [applicable assessments](#) and procedures apply.

### **11) Certifications, Assurances, and Other Statements of Applicant and/or**

## **Recipient**

Non-PIO applicants are required to submit certain certifications with the application. The templates can be found [here](#).

### **12) System for Award Management (SAM) and Dun and Bradstreet**

All applicants (other than individuals, and with some specific exceptions as per 2 CFR 25.110) and any potential sub-recipients (excluding awards of less than \$25,000 to foreign recipients to be performed outside the United States), must have Dun & Bradstreet (DUNS) numbers and be registered in [SAM](#).

### **13) Financial Documents/Indirect Cost Rates.**

All NGO/PVO applicants must submit a NICRA, support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency with sufficient information for USAID to determine the reasonableness of the rates, or, in accordance with [2 CFR 200.414](#), eligible applicants may choose to apply a 10 percent *de minimis* indirect cost rate. Please note the latter is only for those applicants which have never received a NICRA.

### **14) Federal Forms.**

NGO/ PVO applicants must fill out the [SF-424 Core Form](#), [Application for Federal Assistance and SF-424 Attachments](#) (SF-424A, SF-424B, SF-424C, SF-424D). Standard Forms can be accessed electronically at [www.grants.gov](http://www.grants.gov)

### **15) Branding Strategy and Marking Plan**

Applicants are required to comply with [2 CFR 700.16](#) and [ADS 320](#) and any updates thereof, as applicable, and complete a branding strategy and marking plan (BS/MP) with each award (i.e., Title II and IDA). The BS/MP is required for successful applicants only; it is not required upon submission of a concept paper or with the initial full application. However, if a full application is requested, the applicant is encouraged to include their BS/MP in the initial submission of the full application.

An applicant who chooses not to include their BS/MP with their application will not be penalized during the review process, but should be aware that, if the applicant is an apparently successful applicant, submission of an acceptable BS/MP will be a prerequisite for any resulting award.

Because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application. Exceptions and waivers to USAID marking requirements may be approved pursuant to conditions set forth in [2 CFR 700.16](#)(h) and (j), and [22 CFR 211](#) as applicable.

Agency branding and marking guidance, found in ADS 320, contains instructions on how to prepare the BS/MP. The USAID website contains samples of the USAID logo in various formats. Please visit [www.usaid.gov/branding](http://www.usaid.gov/branding) for the Graphic Standards Manual (updated March 2016) and logos. Except under limited circumstances, USAID requires recognition of the contributions of the American people provided under awards, unless otherwise approved. Typically, for Title II, commodity packaging will be completed in the United States.

For market-based modalities, in addition to standard USAID BS/MP requirements, unless otherwise approved in writing by USAID, all bags for commodities purchased under local and regional procurement must bear the USAID Identity (as defined in [2 CFR 700.1](#)), the commodity type and quantity, and the following text: These commodities are provided by USAID, but were produced in [insert country].’ Note: This reference to where the commodities were produced equates with the commodities’ country of origin, which may differ from the country of purchase. The cost of labeling of all bags should be included in the budget.

## **16) Safety and Security Plan**

Among USAID’s primary programming concerns is that its implementing partners take all reasonable precautions to minimize risks to all staff and operations funded by USAID. While risk can never be fully eliminated, USAID expects its partners to be adequately prepared to work in any environment for which they submit an application. Applicants must incorporate operational security management systems, appropriate to their organization and operational area(s), into all applications.

USAID requires applicants to submit a location-specific safety and security plan for proposed operational areas, which may be as specific as a village, town, city, or district where activities will occur. Applicants should use discretion in providing a level of detail appropriate to the operating context and variance in conditions across the targeted areas. Submission of global security handbooks and/or policy documents does not satisfy USAID’s requirements for safety and security plans. Safety and security plans must be demonstrably written for and apply directly to the areas where activities are being proposed. All personnel and operations funded under USAID awards, including sub-awardees or other partners with substantive programmatic contributions, must be covered by a safety and security plan. USAID implementing partners should pay attention to the unique threats and vulnerabilities faced by national staff and directly address these threats and vulnerabilities in safety and security plans.

USAID will not explicitly or implicitly evaluate the merit of the content of any safety and security plan(s) submitted. The safety and security plan will not count toward the total page limit and should be included as an annex with the submission of the full application. PIOs are not required to submit a safety and security plan.

## **17) Past Performance**

Apparently successful applicants only will be asked to provide a list of all contracts, grants, or cooperative agreements involving similar or related work that the applicant has undertaken during the previous three years. This includes any experience with local and regional procurement, cash transfers, food vouchers, commodity management, essential complementary activities, and other food assistance experience, or, secondarily, experience with emergency programming. This information must include the location and award numbers, if applicable, a brief description of work performed, name of donor entity and points of contact for donor(s) with current phone numbers and/or e-mail addresses. List all information in reverse-chronological order, starting with the most recent.

## **18) Other Documents**

It is recognized that in some activities the identification of specific partners and sub-recipients cannot occur until after award. Therefore, specific delineation of responsibilities and costs of sub-recipients cannot always be provided in the concept paper and/or application. However, in many cases, this information is known at the time the concept paper and/or application is being prepared. In order to reduce the administrative burden of obtaining post-award approval for partners, sub-recipients, etc., and thereby facilitate activity implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify partnership arrangements in the technical/programmatic and cost/budget/management sections of their concept paper and/or application. Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application to the extent possible.

USAID encourages PIOs and international NGOs/PVOs to support, mentor, partner, and/or collaborate with local organizations.

## **19) Approval of Subawards**

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

- Name of organization
- DUNS Number: Applicants working through local partners must ensure that local organizations have the capacity to carry out the designated components of the proposed activity, and should consider capacity-building which will leave a lasting impact on local organizations. Please note that all identified sub awardees must have a DUNS number, except sub-awards of less than \$25,000 to foreign recipients to be performed outside the United States.
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list and [\*Specially Designated Nationals and Blocked Persons List\*](#).
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

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

### **1. Concept Paper – Merit Review Criteria**

FFP expects that a logical case be presented that demonstrates whether certain activities/modalities are not viable and why the selected modality presents a preferred response option.

Each concept paper will be evaluated under the following merit review criteria taking into consideration the framing questions outlined in each section:

- Applicant adequately justifies the need for emergency food assistance for emergency or recovery programs in accordance with the APS, and
- Applicant's design is conceptually sound and aligns with the broader humanitarian response strategy in country, and
- Applicant provides adequate analysis to indicate that the programmatic approach (e.g., assistance modality and delivery mechanism) is sensitive to market conditions in geographic areas of implementation as well as in source markets, and
- The programmatic approach is feasible—based on logistical capacity and infrastructure, and ability to deliver assistance within the time constraints as required by the emergency, and
- The food security objectives of the activity are clearly stated, and sufficient explanation has been provided to indicate that the proposed approach is likely to be effective at achieving those objectives in meeting the needs of acutely food insecure people affected by a crisis, and
- The proposed approach is cost efficient and will either optimize the number of participants to be reached relative to U.S. in-kind commodities (if proposing market-based food assistance modalities) or the applicant adequately documents other value added in meeting their stated food security objectives.

#### **A. Review and Selection Process**

If these criteria are met, USAID will then consider the following factors: the current and planned level of USG support for the emergency, the response strategy of the recipient country's government, the availability of USAID's resources, other current and projected emergency food assistance needs globally, and the availability of USG pre-positioned food aid commodities. Subject to the outcome of that review, USAID may then request that the partner submit a full application for the proposed activity or portions thereof.

Applicants will receive a notification if their concept papers are deemed unsuccessful. USAID will not provide debriefs for unsuccessful concept papers as a general rule, but retains the option to do so at its own discretion in exceptional circumstances. If an applicant is not invited to submit a full application as a result of submission and review of a concept paper, any re-

submission by that applicant of another concept paper for the same activity (e.g., same shock, same participant population, same geographic area, same emergency needs, etc.) will only be considered under exceptional circumstances. Similarly, if an applicant's full application is not recommended for funding, re-submission of another concept paper for the same activity (e.g., same shock, same participant population, same geographic area, etc.), by the same applicant, will only be considered under exceptional circumstances.

## **2. Application – Merit Review Criteria**

USAID will use the following point system in evaluating the technical criteria and taking into consideration the framing questions outlined in each section:

<b>Merit Review Criteria</b>	<b>Maximum Possible Points</b>
1) Emergency Description	20
2) Activity Design and Description	50
3) Operations and Logistics	30
<b>Total Possible Points</b>	<b>100</b>

### **A. Review and Selection Process**

The programmatic and technical aspects of an application will be reviewed separately from the cost application. The cost application will be evaluated for cost effectiveness, cost realism, reasonableness, allowability, and allocability only if the proposed activity successfully addresses the criteria outlined below.

#### **1) Emergency Description**

The Emergency Description will be evaluated based on the appropriateness of the proposed food assistance modality as a response to the described shock or trigger event of the emergency situation. [See Section D.5.B.2) Emergency Description

For all proposed modalities, please include the justification in terms of appropriateness, timeliness or cost-effectiveness if not previously addressed in a concept paper.

#### **2) Activity Design and Description**

Activity Design and Description will be evaluated based on the extent to which the activity meets the identified emergency needs in a way that is safe for local populations and incorporates local feedback throughout the design and implementation process. [See D.5.B.3) the **Activity Design and Description** section.]

#### **3) Operations and Logistics**

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Operations and Logistics will be evaluated as to the capabilities of the applicant to carry out the proposed activity based on organizational capacity, as well as infrastructure and logistical arrangements, including maintaining commodity soundness, quality and safety [see Section D.5.B.4) **Operations and Logistics** section] without creating any market disincentives or disturbances.



## **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, apportioned, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

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

Unless otherwise noted, all sections of the APS are applicable to all emergency requests, whether supported by the FFP Act or FAA-authorized resources.

Applicants should submit concept papers outlining requested Title II in-kind assistance or market-based modalities, without specifying the funding source for market-based modalities. USAID will decide how any approved market-based modalities will be funded.

The APS applies to both new proposed interventions and funded extensions or modifications of existing FFP-funded emergency activities.

USAID assumes no liability for reimbursing applicants for any costs that may be incurred in the preparation and submission of concept papers and/or applications.

USAID 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.

FFP emergency activities awarded prior to the issuance of this APS must adhere to the requirements of this APS if requesting follow-on awards.

Applications under this APS can be for either Title II in-kind resources, market-based modalities, or a combination of the two types of interventions.

This APS does not apply to Title II development (i.e., non-emergency) resources.

This APS does not provide guidance to existing development activities regarding the use of approved non-emergency resources in response to an emergency. For such guidance, current recipients should contact the activity's Agreement Officer's Representative (AOR) in FFP. FFP will ensure that there is no duplication between emergency applications under the APS and non-emergency resources used in response to an emergency.

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NGOs, PVOs, and cooperatives should use this APS for applications requesting emergency Title II in-kind resources or market-based resources.

Public international organizations (PIOs) may use this APS for applications requesting market-based resources and may opt to use it to request emergency Title II in-kind resources.

Unless otherwise noted, all sections of the APS are applicable to both Title II in-kind resources and market-based modalities.

USAID anticipates issuing amendments or addenda to this APS to request concept papers or applications for specific emergencies. USAID will post amendments or addenda to [Grants.gov](https://www.grants.gov), through which organizations may sign up to receive notifications of changes. USAID may issue amendments or addenda to this APS for other reasons, such as to establish deadlines or notify interested parties that no further funding is available.

Awards will be made and administered in accordance with applicable laws and regulations, including the FFP Act, the FAA, USAID regulations, policies, procedures, and any actual award provisions, including USAID's standard provisions (for [U.S. Nongovernmental Organizations](#), [Non-U.S. Nongovernmental Organizations](#), or [Public International Organizations](#)). The awards will be administered in accordance with [22 CFR 211](#), [22 CFR Part 216](#), [2 CFR Part 200](#), [2 CFR Part 700](#), and [ADS 303](#) (NGOs) or [ADS 308](#) (PIOs), and [FFP Information Bulletins](#) as applicable.

Notwithstanding the foregoing, or other provisions of this APS, USAID reserves the right to make awards to PIOs on different terms and conditions than to those made to NGOs, PVOs, and cooperatives; and to require different documentation prior to, or as a requirement under an award.

### 3. Reporting Requirements

[ADS 540](#) requires awardees (except PIOs) 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 [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](#).

All Programmatic and financial reports must be submitted to the USAID AOR by the due date for AOR's approval. In addition to the annual and final reporting requirements specified below, USAID will make activity information available to the public as appropriate. Post-award reporting including quarterly program performance reports (QR), ARRs and final programmatic

## **FINAL**

results report should be submitted to [ffpemergencygrants@usaid.gov](mailto:ffpemergencygrants@usaid.gov) unless otherwise specified by USAID.

When uploading documents, please use the following file naming convention:

Partner Name - Country - USAID Award Number - Financial Report (SF 425/Final Report)\_Q# - Date Submitted (YYYY/MM/DD).doc

Partner Name - Country - USAID Award Number - Program Report \_Q# - Date Submitted (YYYY/MM/DD).doc

Example: “ABC Haiti AID-FFP-G-16-00001 SF425\_Q1 20160112”

## FINAL

	<b>PROGRAMMATIC AND FINANCIAL REPORTING TABLE</b>	
	<b>PROGRAMMATIC REPORTING</b>	
<b>QUARTERLY PERFORMANCE REPORT</b>	<b>ANNUAL PERFORMANCE REPORT</b>	<b>FINAL REPORT</b>
<b>1) Activity Summary</b>	<b>1) Activity Summary</b>	<b>1) Activity Summary</b>
<b>2) Activity Outputs</b>	<b>2) Activity Outputs</b>	<b>2) Activity Outputs</b>
<b>3) Programming Performance</b>	<b>3) Programming Performance</b>	<b>3) Programming Performance</b>
<b>4) Challenges</b>	<b>4) Lessons learned</b>	<b>4) Lessons Learned</b>
<b>5) Market Analysis</b>	<b>5) Market Analysis</b>	<b>5) Market Analysis</b>
<b>6) Planned Activities</b>	<b>6) Cross-cutting Elements</b>	<b>6) Cross-cutting Elements</b>
<b>7) Success Stories</b>	<b>7) Success Stories</b>	<b>7) Success Stories</b>
	<b>8) Annex: Local, Regional, and International Purchase Commodity (LRIP) table</b>	<b>8) Local, Regional and International Purchase Commodity (LRIP) table</b>
	<b>9) Local, Regional and International Purchase Commodity (LRIP) report in FFP Partner Reporting Tool</b>	<b>9) Cash Transfers and Food Vouchers table</b>
<b>1) Annex: Loss Reporting</b>	<b>10) Annex: Loss Reporting</b>	<b>10) Annex: Loss Reporting</b>
<b>2) Annex: Commodity Quality and Safety</b>	<b>11) Annex: Commodity Quality and Safety</b>	<b>11) Annex: Commodity Quality and Safety</b>
<b>FINANCIAL REPORTING</b>		
<b>QUARTERLY FINANCIAL REPORT</b>	<b>FINAL FINANCIAL REPORT</b>	
SF 425 - SF 425a	The final Financial report replaces the quarterly financial report for the final quarter of the award	

Note: Successful applicants will be held to the reporting requirements outlined in the award. Annexes are as applicable.

### PROGRAMMATIC REPORTING

#### A. Quarterly Performance Reports (QRs) (5 pages max-recommended)

QRs are due within 30 days after the end of each fiscal year quarter, unless the reporting period ends before 45 days from the effective date of the award, or less than one month from the estimated

completion date of the award and the award will not be extended. The primary objectives of the QR are to discuss progress against all indicators identified in the M&E Plan, to tell the story behind the progress and to identify planned changes in programmatic approaches. USAID specifies additional components of quarterly reporting in the award based on the modality. Note that annexes do not count towards the page limit.

### **1) Activity Summary**

Highlight major changes in access, security, food security and other relevant elements impacting programming. Summary should be specific to changes in the context from the previous quarter, with an outlook at potential changes in the next quarter. Please include reference to any specific issues that have been the subject of informal updates or approval requests to FFP within the last quarter (e.g., “the cost fluctuations”).

### **2) Activity Outputs**

Activity output achievements reflected as planned versus actuals. Include total number of participants targeted and reached overall, disaggregated by sex. If participants are reached by more than one intervention, please provide a separate table for each intervention. Please provide narrative description for any results over or under targets.

	Participants Actual / Planned						Unique Participants
[Activity]	[Oct.]	[Nov.]	[Dec.]	[Jan.]	[Feb.]	[Mar.]	
<b>Participants (Male)</b>	Actual/ Planned	Actual/ Planned	Actual/ Planned	Actual/ Planned	Actual/ Planned	Actual/ Planned	
<b>Participants (Female)</b>	Actual/ Planned	Actual/ Planned	Actual/ Planned	Actual/ Planned	Actual/ Planned	Actual/ Planned	

### **3) Programming Performance**

Present results from any outcome and process indicators that have been collected this quarter. This includes data from post-distribution monitoring (PDM), feedback mechanisms and ad-hoc assessments.

### **4) Challenges**

Any challenges that the activity has faced during the quarter and how they were resolved and discuss any potential challenges or delays, which may impact the activity’s ability to achieve its objectives.

### **5) Market Analysis**

Analyze and present results from market assessments and monitoring (source and participant community markets). Discuss trends and potential programming impacts. In reporting price

changes over time, comparisons should be made to any regular seasonal changes of prices. In the absence of robust pre-existing market information systems, awardees should utilize the most accurate, regular, and relevant prices available. Unexpected market impacts should be explained in the QRs and ARR, along with course corrections made. If specific thresholds are being used to identify price fluctuations that could signify an adverse market distortion, please notify USAID in this section if those thresholds have been exceeded during this quarter.

**6) Planned Activities**

Key activities planned for the upcoming quarter.

**7) Protection Concerns**

Should protection issues arise as a direct result of the applicant's program (e.g. increased tension between couples due to women's direct access to cash), as well as reporting the unintended effects observed, describe actions taken and planned to mitigate the risk. Address any protection concerns affecting local populations.

**8) Success Stories** (as relevant)

**1. Annex: Loss Reporting (As applicable)**

All losses regardless of modality should immediately be reported to FFP as well as be included into quarterly and final reports. When reporting commodity losses include the type, amount and value of commodity including the reason for the loss. For cash and vouchers, losses are defined as any diversion of resource transfers which were intended for participants. When reporting CVA losses include value and reason for the loss.

**2. Annex: Commodity Quality and Safety (As applicable)**

Commodity safety and quality assurance inspection results compared to local country food safety guidance or Codex Alimentarius, as referenced in the **Commodity Safety and Quality Assurance** section. Results must contain aflatoxin levels and moisture content certification. Commodity safety and quality inspection certificates will be submitted concurrent with QRs through the [Partner Portal](#). Note: any commodity quality and safety concerns should be immediately reported to the AOR.

**B. Annual Reporting**

In addition, in lieu of a fourth quarter programmatic report, an Annual Results Report (ARR) shall be submitted in accordance with the FFP ARR guidance. The ARR reporting guidance can be found under [Annual Results Report](#) section on the FFP website. The ARR should be submitted through the [Partner Portal](#). This report will be instrumental in helping USAID complete reporting on overall program performance.

**C. Final Programmatic Report**

Reporting requirements will be identified in the award. Information should be reported at the end of the activity life for the entire life of the activity. At a minimum, the final report will include the following.

**1) Activity Summary**

Highlight overall activity achievements and milestones. Provide general update on food security situation and contextual changes.

**2) Activity Outputs**

Activity output achievements reflected as planned versus actuals. Data should be presented per month for all months under the active award. Include all data as required by the award which may include information on sex, age, IDP, etc. If participants are reached by more than one modality, please note this in your narrative. Please provide narrative description for any and all results over or under targets by more than 10 percent.

**3) Programming Performance**

Present results from outcome and process indicators. This includes data from baselines, PDMs, feedback mechanisms and final assessments. Data should be presented per month for all months that it was collected under the active award.

**4) Lessons Learned**

Describe lessons learned on programmatic adaptations made in response to challenges or opportunities encountered, the appropriateness of selected modalities and activities to the context, and unintended consequences of program activities and how they were addressed. Discuss whether the reasons for choosing the modality at the inception of the program held true during implementation. Was any new information uncovered during implementation that would alter or better inform the choice of modality? Note any general programming lessons learned which could apply more broadly to other programs or contexts.

**5) Market Analysis**

Analyze and present results from market assessments and monitoring (source and last mile markets). Discuss trends and potential programming impacts. In reporting price changes over time, comparisons should be made to any regular seasonal changes of prices. In the absence of robust pre-existing market information systems, awardees should utilize the most accurate, regular, and relevant prices available. Unexpected market impacts or disincentives to local production should be explained in the ARR, along with course corrections made.

**6) Cross-cutting Elements**

Describe how activity has assessed as well as addressed gender, protection and conflict sensitive needs and issues.

**7) Success Stories (as relevant)**

**8) Local, Regional and International Purchase Commodity (LRIP) report in FFP Partner Reporting Tool** in the [Partner Portal](#) as required by the award: ([See FFPIB 19-03 for more info](#))

Awardees are expected to enter the following information into the appropriate tables annually:

- Procurement Table: (not required for Title II commodities)
  - i. Commodity name
  - ii. Procurement type
  - iii. Quantity procured in MT
  - iv. Procurement cost in US\$
  - v. Transport cost in US\$
  - vi. Total cost per MT (Procurement + Transportation)
  - vii. Purchase date
  - viii. Source country
  - ix. Origin country
  - x. Market price per MT in the country of procurement, 2 weeks before purchase date in US\$ (where purchased)
  - xi. Market price per MT in the country of procurement, 2 weeks after the purchase date in US\$ (where purchased)
- Delivery Table:
  - i. Commodity name (not specialized foods)
  - ii. Total Quantity delivered in MT
  - iii. Number of unique participants received food
  - iv. Number of unique households received food

**9) Food transfer modality report in FFP Partner Reporting Tool**

Awardees are expected to enter the following information into the appropriate tables annually:

- Cash/Voucher Table:
  - i. Conditionality type (including unconditional)
  - ii. Modality type (cash or voucher)
  - iii. Total amount distributed in US\$
  - iv. Number of unique households received transfer
  - v. Number of unique individual participants received transfer
  - vi. Number of ration days (only for food related transfer)
  - vii. Cash/voucher value in US\$ per transfer
  - viii. Total redeemed value in US\$
  - ix. Percent of household daily dietary needs met (only for food related transfer)
  - x. Unit of cash/voucher transfer (Household or Individual)
- In-Kind Table:
  - i. Conditionality type (including unconditional)
  - ii. Number of unique households received food
  - iii. Number of unique individual participants received food
  - iv. Number of ration days
  - v. Percent of households daily dietary needs met



Except as specifically amended herein, all other terms and conditions of the subject APS, as previously amended, remain unchanged and in full force and effect.

**10) Annex: Loss Reporting (As applicable)**

All losses regardless of modality should immediately be reported to FFP. When reporting commodity losses include the type, amount and value of commodity including the reason for the loss. For cash and vouchers, losses are defined as any diversion of resource transfers which were intended for participants. When reporting CVA losses include value and reason for the loss.

**11) Annex: Commodity Quality and Safety (As applicable)**

Commodity safety and quality assurance inspection results compared to local country food safety guidance or Codex Alimentarius, as referenced in the Commodity Safety and Quality Assurance section. Results must contain aflatoxin levels and moisture content certification. Commodity safety and quality inspection certificates will be submitted concurrent with QRs through [Partner Portal](#).

**FINANCIAL REPORTING**

**1) Quarterly Financial Report and Final Financial Report**

For NGO/PVOs, financial reporting requirements will be in accordance with 2 CFR 200. Quarterly financial reports are expected to be submitted within 30 calendar days after the end of the quarter and the final financial report not later than 90 days after the end of the award. More information about financial reporting will be included in the award. For PIOs financial reporting requirements will be specified in the award.

## **SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)**

- Contact [ffpemergencygrants@usaid.gov](mailto:ffpemergencygrants@usaid.gov) with any questions or comments relating to an emergency activity application.

## **SECTION H: OTHER INFORMATION**

### **1. Requirements for all Activities**

Unless otherwise approved by USAID, the source and origin of commodities financed by USAID under local and regional procurement activities, and the nationality of the suppliers of such commodities, shall be in countries up to the “Lower Middle Income Countries and Territories” category on the [OECD-DAC List](#) of ODA recipients, excluding the list of prohibited source countries in the mandatory reference to [ADS 310](#). The most recent DAC list should be

used. "Source" is defined in [22 CFR 228.01](#). "Nationality" rules are defined in [22 CFR 228.12](#). For the purposes of this APS, "origin" is defined as "the country where a commodity is mined, grown or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results that is significantly different in basic characteristics or in purpose of utility from its components." Commodity procurements will be subject to all applicable laws and regulations, e.g., Department of Treasury, Office of Foreign Assets Control (OFAC) regulations.

Under this APS, all applicants (for NGOs, PVOs, and PIOs) proposing USAID-financed ocean shipment of commodities will be required to comply with the USG Cargo Preference Act as described in [ADS 315](#). Compliance with the Cargo Preference Act is carried out at an Agency level and will be coordinated by the Bureau for Management, Office of Acquisition and Assistance, Transportation Division (M/OAA/T).

## **2. Code of Conduct**

As a condition for receiving any award resulting from this APS, including both Title II or EFSP awards, applicants must have adopted a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. U.S. law stipulates that no International Disaster Assistance (IDA) funds may be obligated to an organization that fails to adopt a code of conduct providing for the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. As a matter of policy this requirement has also been extended to Title II emergency awards. The required code of conduct must be consistent with the UN Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises, which includes the following core principles:

- Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment;
- Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defense;
- Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading, or exploitative behavior is prohibited. This includes exchange of assistance that is due to participants;
- Sexual relationships between humanitarian workers and participants are strongly discouraged since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work;
- Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same humanitarian aid agency or not, s/he must report such concerns via established agency reporting mechanisms;

- Humanitarian workers are obliged to create and maintain an environment that prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems that maintain this environment.

### **3. Mandatory Reporting on Allegations of Sexual Abuse and Exploitation**

For U.S. NGOs, the awardees must comply with ADS 303 Standard provision M14: Regulations Governing Employees, paragraph E which discusses standards of conduct.

For Non-U.S. NGOs, the awardees must comply with ADS 303 Standard Provision M11: Recipient and Employee Conduct, paragraph E.

### **4. Mandatory Disclosures**

Consistent with 2 CFR §200.113, applicants and recipients must disclose, in a timely manner, in writing to the USAID Office of the Inspector General, with a copy to the cognizant Agreement Officer, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Subrecipients must disclose, in a timely manner, in writing to the USAID Office of the Inspector General and to the prime recipient (pass through entity) all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award.

### **5. USAID Disability Policy and accessibility Standards**

The applicant's attention is directed to [USAID Disability Policies](#). These policies have implications for both the activity design and activity budget.

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

The applicant is encouraged, but is not required, to submit [USAID's Voluntary Survey on Faith-Based and Community Organizations](#).

### **7. Ineligible Goods and Services, Ineligible suppliers, and Restricted Goods**

The applicant's attention is directed to [ADS 310](#), [ADS 312](#), and [ADS 313](#). These rules and requirements may affect the activity design, budget, timing of award, and/or timely activity implementation and post-award administration.

### **8. Conflict of Interest Pre-Award Term (August 2018)**

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

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

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

**b. Organizational Conflict of Interest**

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

**9. Programmatic and Technical References**

Please consult the Guidance and Resources sections on [USAID's Food Assistance website](#) for further information pertaining to the international emergency food assistance activity interventions described in this APS. If you have suggestions for additional resources, please submit them to [ffpemergencygrants@usaid.gov](mailto:ffpemergencygrants@usaid.gov). USAID does not necessarily endorse the views expressed in the documents listed in the "Online Resources" section of the website.

For gender considerations see the following resources:

USAID's [Policy on Gender Equality and Female Empowerment](#)

More information on gender integration in activity design can be found on the [USAID website](#). Tips for conducting a gender analysis at the intervention or activity level can be found in [ADS 201](#).

For technical considerations on essential complementary activities for all modalities see the following resources for technical requirements and guidelines for technical sectors:

- [USAID/Office of Conflict Management and Mitigation](#)
- [Sphere Handbook](#)
- [OFDA Guidelines for Proposals](#)
- [OFDA Guidelines on Risk Assessment and Mitigation Requirements for High-Risk Environments](#)
- [CaLP CVA Glossary](#)

For country-specific FFP food assistance response figures, please refer to USAID FFP's Country Fact Sheets.