United States Department of State
Washington, D.C. 20520

General NGO Guidelines
Bureau of Population, Refugees, and Migration

Effective Period: Effective November 2021

Introduction

The Department of State Bureau of Population, Refugees, and Migration (PRM) has primary responsibility within the U.S. government for formulating policies on population, refugees, and migration, and for administering U.S. refugee assistance and admissions programs. PRM's mission is to provide protection, ease suffering, and resolve the plight of persecuted and uprooted people around the world on behalf of the American people by providing life-sustaining assistance, working with multilateral organizations, non-governmental organizations (NGO), and civil society systems, to build global partnerships, promoting best practices in humanitarian response, and ensuring that humanitarian principles are thoroughly integrated into U.S. foreign and national security policy.

PRM funds NGO programs that are coordinated with multilateral institutions, other NGOs, and other civil society actors to expand the reach of U.S. government assistance and complement the humanitarian assistance ecosystem. Historically the majority of PRM's primary funding supports the efforts of the key multilateral humanitarian organizations responsible for refugees, conflict victims, stateless persons, and vulnerable migrants.

A critical component of providing humanitarian aid is the role of the State Department's humanitarian diplomacy, which impacts nearly every facet of the work undertaken by NGOs. The Department of State's diplomatic personnel worldwide play an important role in advocating for the protection of, and durable solutions for, the millions of refugees, stateless persons, internally displaced, and other people affected by conflict around the world. PRM recognizes NGOs are important and ubiquitous advocacy partners that contribute to and drive reform and innovation where they operate and across the humanitarian response structure.

PRM encourages and values both policy and program innovation, fully realizing the pace of innovation can be incremental to exponential. Have a great idea or want to provide feedback? Please email PRM's NGO Coordinator at PRMNGOCoordinator@state.gov.

1. What's New and What Has Changed?

Based on updated standards and forms, Departmental guidance, consultations within PRM (also referred to in these guidelines as the "Bureau"), and helpful feedback from the NGO community, we continue to strive to make our guidelines and requirements clearer and more explicit throughout the document and provide more effective life-saving assistance to the world's most vulnerable. The following encompasses many of the changes that pertain to the NGO guidelines;

1. **Changes in Notice of Funding Opportunity (NOFO) Deadlines:** PRM has re-evaluated the deadline requirements for NOFO and CN advertisements to lessen confusion and offer applicants additional time to complete their submissions on the day of application deadlines. Applicants should pay close attention to the date and time deadlines of posted NOFOs and CNs on grants.gov.

2. **Revised Programmatic Sectors/modalities and Definitions:** PRM has revised the Bureau's listing of programmatic sectors and associated definitions. See Appendix C for more information.

3. **Updated and Corrected Website Links/UEI Transition:** Attention has been made to providing updated links to resources which may have been outdated or no longer active, particularly for internal USG websites such as SAM.gov which has undergone substantial changes in the last year. The guidelines also include information about the Spring 2022 transition to the SAM.gov Unique Entity Identifier (UEI).

4. **Scorecard Examples:** Scorecard examples for complete Notice of Funding Opportunity (NOFO) proposal packages of which PRM panelists use to review proposal packages have been revised to reflect the revised Proposal Narrative template more clearly. This example scorecard helps applicants to ensure their proposal narrative meets PRM's panel review metrics. See Appendix G for more information.

5. **Updated SF-424 / SF-424A Instructions:** Instructions for these required forms have been updated to reflect updated versions to these forms which are part of the grants.gov application process. A reminder, SF-424 forms submitted as part of the application process must be signed upon completion.

6. **Proposal Checklist:** See updated requirements for documents that must be submitted as part of a complete proposal package in Appendix A and the Administrative Requirements section of these guidelines.

7. **Updated Concept Note (CN) and Proposal Templates:** We encourage applicants to familiarize themselves with revisions to the concept note and proposal narrative templates (single and multi-year) for PRM funding. Revisions have been made to the CN template to include a new table cover page. Proposal narrative program description sections have been updated to highlight specific emphasis on the gender analysis and protection mainstreaming. Applicants are encouraged to be succinct and concise in Section 2 Gap Analysis of the program proposal narrative, and **strongly encourage** applicants to limit the narrative in this section to no more than one page. The proposal template also includes a section on how applicants should assess and analyze the ways in which the proposed program will uphold Sphere Protection Principles and mitigate potential protection risks because of proposed activities (under the program description). Assistance activities should mainstream protection by analyzing the protection risks in relation to each specific programming sector.

8. **Protection from Sexual Exploitation and Abuse (PSEA) Code of Conduct Requirements**: Organizations are now required to submit their PSEA Code of Conduct and a country or regional implementation plan specific to the country or region of the application at the time of submission of their application packages (previously provided before issuing awards). Please ensure that your organization has a PSEA Code of Conduct that is consistent with the 2019 IASC Task Force's Six Principles Relating to Sexual Exploitation and Abuse when you are considering competing for PRM funding or it may risk a delay in finalizing the cooperative agreement (See Appendix B, section A.B.6 in the NGO Guidelines for more details).

9. **Revisions to Required Reporting on Accountability to Affected Populations (AAP)**: Organizational AAP frameworks are now required to be submitted by all applicants at the time of application submission (Previously, only those organizations that had not received PRM-funding since 2016 or after were required to submit.) Additionally, in line with Congressional requirements, organizations are required in quarterly reporting to provide specific examples of how beneficiary feedback has been obtained during the given program and how organizations responded to such feedback, including changes to programming decisions.

2.   Application Process

(**Note:** PRM does not provide overseas assistance through for-profit organizations.)

2.A. Overview of the Application Process:

- Organizations should not wait for Notice of Funding Opportunity announcements to be posted to start the registration process outlined below. Organizations can undertake this process at any time, and PRM encourages potential applicants to do so to avoid complications in future application submissions.

- Organizations considering applying for specific PRM funding opportunities should **start the application process as early as possible** to avoid missing submission deadlines and to ensure that they can obtain any additional required registrations in ample time.

- Preparing to apply for PRM funding is a multi-step process that can take several weeks for U.S. NGOs and considerably longer for non-U.S. organizations.

- Given potential processing delays and staffing shortages in light of COVID-19, some of the registration steps outlined below may take additional time to complete. These functions are largely outside the

control of PRM and the Bureau has limited ability to correct or facilitate rapid resolution to technical difficulties associated with these processes.

To begin the process of seeking PRM funding, applicants must:

- Obtain a Data Universal Numbering System (DUNS) number for their organization;
    a. **Note: Starting on April 4, 2022, the DUNS Number will be replaced by a "new, non-proprietary identifier" requested in, and assigned by, the System for Award Management (SAM.gov). This new identifier is being called the SAM.gov Unique Entity Identifier (UEI). For more information on the process and to stay apprised of updates to the transition, please visit the following sites:**
        i. **https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update**
        ii. **https://www.fsd.gov/gsafsd_sp?id=kb_article_view&sysparm_article=KB0046482&sys_kb_id=6b8149b2db2e7c10060d5425f39619a8&spa=1**
        iii. **https://www.fsd.gov/sys_attachment.do?sys_id=ebaa950d1b6a7850fe314000f54bcb94**

- Register with the U.S. government-wide System for Award Management (www.SAM.gov);

- Create a username and password on Grants.gov and complete their Authorized Organization Representative (AOR) profile; and

- Confirm, through the E-Business Point of Contact (E-Biz POC) at the organization, that the applicant has an AOR.

PRM posts all funding opportunities on the website www.Grants.gov, PRM's website, and all programs in the Assistance Listings on SAM.gov (formerly Catalog of Federal Domestic Assistance [CFDA]).

All concept note and proposal applications in response to PRM Notice of Funding Opportunity announcements must be submitted via Grants.gov.

PRM's Assistance Listings numbers are:

- 19.018 – Resettlement Support Centers (RSCs) for U.S. Refugee Resettlement
- 19.510 – U.S. Refugee Admissions Program
- 19.511 – Overseas Refugee Assistance Programs for East Asia
- 19.517 – Overseas Refugee Assistance Programs for Africa
- 19.518 – Overseas Refugee Assistance Programs for Western Hemisphere
- 19.519 – Overseas Refugee Assistance Program for Near East
- 19.520 – Overseas Refugee Assistance Programs for Europe
- 19.522 – Overseas Refugee Assistance Programs for Strategic Global Priorities
- 19.523 – Overseas Refugee Assistance Program for South Asia

2.B. Obtaining a DUNS number: Organizations can obtain a free DUNS number from Dun and Bradstreet (D&B) at any time; you do not need a U.S. government grant nor do you actively need to be in the process of applying for one. Organizations located in the U.S. can request a DUNS number free of charge by contacting D&B online or by telephone at 1-866-705-5711. Registration typically takes minutes by phone and up to 24 hours via the web-form.

Organizations located outside the U.S. can request a DUNS number **free of charge** by contacting D&B online or by telephone at the local D&B office. The list of international offices is available here.

Please consult the information in 2.A. about the DUNS to SAM.gov UEI transition.

2.C. Registering with SAM: To successfully apply through Grants.gov, organizations must use their DUNS number to register with the System for Award Management (SAM) online at (www.SAM.gov) or by telephone at 1-866-606-8220 (U.S.) or 1-334-206-7828 (international). **Note that SAM registration must be updated annually.** Organizations based outside the United States must also request and receive an NCAGE code prior to registering with SAM.gov (NCAGE codes must also be renewed every five years.) If registration is not completed by the time the application for PRM funding is submitted, the application will be rejected automatically by Grants.gov. **PRM strongly recommends that organizations complete the registration process as early in the fiscal year as possible in order to avoid potential delays when calls for concept notes or proposals are issued.** Detailed instructions on how to complete this registration process can be found here. When organizations register on SAM.gov, they will be asked to identify a single "E-Biz Point of Contact" for the organization. This person has the responsibility to confirm which individuals have the authority to submit proposals on behalf of the organization.

Potential applicants should be alerted that SAM.gov is a free government-managed website; applicants do not need to pay to have their organization registered. The Department of State's Office of the Procurement Executive (A/OPE) receives frequent reports that recipients are contacted by organizations posing as SAM.gov and threatening to cut off registration unless a fee is paid for registration or renewal. These emails are not coming from SAM.gov and should be reported as Spam and Phishing/Spoofing.

2.D. Registering with Grants.gov: Once organizations have obtained their DUNS/UEI number and completed their SAM registration, the individual who is submitting the application on behalf of the organization must register on the Grants.gov website and create a username and password to complete his or her AOR profile. Once the AOR has registered on Grants.gov, the E-Biz Point of Contact at the organization will receive an email and must log on to Grants.gov to confirm the applicant as an AOR. All applicants are encouraged to consult Grants.gov's online page for frequently asked questions, user guides, and applicant training videos to familiarize themselves with the application process.

Grants.gov uses a secure alternative to apply for federal grants called "Workspace." Grants.gov Workspace is an online environment optimized for applicants who are collaborating on an application. Forms can either be completed online within a web browser or downloaded individually and uploaded to Workspace. You should plan to use this new system when applying. For more information on how to use Workspace, please see the Grants.gov YouTube channel.

2.E. Technical Support: Applicants who experience technical difficulties with the Grants.gov system during the application process must report the problem to the Grants.gov Help Desk at 1-800-518-4726 or support@grants.gov as soon as possible prior to the deadline identified in the funding opportunity announcement. Grants.gov will assign a case number and open a service request to research the problem(s).

Applicants experiencing technical difficulties with the SAM registration process must contact the Federal Service Desk (FSD) online or at 1-866-606-8220 (U.S.) and 1-334-206-7828 (International).

PRM has limited ability to correct or facilitate rapid resolution to technical difficulties associated with these sites and should not be contacted before first attempting to correct issues through the above support systems.

2.F. International multilateral organizations: International multilateral organizations, such as United Nations agencies, **should not** submit proposals to PRM through Grants.gov. Multilateral organizations that are seeking funding for programs must contact the relevant PRM point of contact listed in the announcement.

3.   Application Submission and Review

- PRM strongly recommends application packages be submitted in Adobe PDF (except budgets), as Microsoft Word documents may sometimes produce different page lengths based on software versions and configurations. (**Note:** If converting a Microsoft Word document to a PDF, ensure that converted documents remain within the permitted page length limits)

- Exceeding page length limits, including through the inclusion of cover pages, will result in disqualification.

- All documents must be in English and cost amounts in U.S. Dollars. For documents (such as PSEA Codes of Conduct, security plans, or organization charts, etc.) originating in another language, please provide an English translation or comparable summary.

- All NOFO announcements are listed on Grants.gov as well as on PRM's website.

PRM conducts formal internal competitive reviews of all application packages based on the proposal evaluation criteria and PRM's priorities stated in the NOFO. A sample scorecard to evaluate NGO applications can be found in Appendix G.

PRM accepts unsolicited concept notes and proposals at any time; however, due to limited funding, priority will be given to proposals responding to PRM-issued NOFOs. Unsolicited proposals should be submitted to the NGO Coordinator at PRMNGOCoordinator@state.gov.

Proposals must be focused along the sectors/modalities, and incorporate the corresponding indicators, specified in the NOFO. All proposals using cash and/or voucher assistance as a modality must use the relevant CVA indicator(s). Programmatic sectors and/or standardized indicators-include the following (see Appendix C for sector descriptions and indicators):

NOTE: All proposals must include the required "sense of safety and wellbeing" indicator, regardless of sector.

1. **Capacity Building**
   - **Capacity Building: NGO/CBO**
   - **Capacity Building: Local Governments**
2. **Cash and Voucher Assistance (CVA)**
3. **Core Relief Items**
4. **Inclusion of Persons with Disabilities**
5. **Education**
6. **Food Security**
7. **Health**
   - **Health: Reproductive Health**
8. **Livelihoods And Economic Empowerment**
9. **Mental Health and Psychosocial Support (MHPSS)**
10. **Nutrition**
11. **Protection**
    - **Protection: Legal**
    - **Protection: Child Protection**
    - **Protection: GBV**
12. **Shelter**
13. **Socio-cultural Inclusion And Social Cohesion**
14. **Water, Sanitation, Hygiene (WASH)**

3.A. Proposal Format and Templates: PRM recommends that applicants use the suggested templates and instruction sets available from PRM's NGO Coordinator:

Concept Note Templates:
- Concept Note for single and multi-year submissions
- Budget Summary

Full Application Package Templates:
- Proposal Narrative for single year submissions
- Proposal Narrative for multi-year submissions
- Budget Summary

- Budget Detail
- Budget Narrative
- Risk Analysis

To request copies of all PRM-recommended templates, send an email with **only** the phrase **PRM NGO Templates** (exactly as written in **bold)** in the subject line, to PRMNGOCoordinator@state.gov. You will receive an automated email reply containing the templates mentioned above as well as the quarterly program report template discussed later in these guidelines.

If an NGO **is not using PRM's templates**, then proposal narratives must not be more than 10 pages in length (15 pages for multi-year proposals). If an NGO **is using PRM's templates**, proposal narratives must not be more than 15 pages in length for single-year applications, and 20 pages for multi-year funding proposals.

(Note: **Documents written in a language other than English will be disqualified.** PRM strongly recommends application packages be submitted in Adobe PDF, as Microsoft Word documents may produce different page lengths based on software versions and configurations. (If converting a Microsoft Word document to a PDF, ensure that documents remain within the permitted page length limits)

All proposals (except budget templates) must use Times New Roman 12-point font (footnotes may be 8-point font, if necessary), on letter sized paper with one inch margins on all sides. Organizations may choose to attach charts, work plans, activity calendars, and/or logical frameworks as an addenda or appendices to the proposal but are not required to do so. These attachments do not count toward the page limit total; however, annexes cannot be relied upon as a key source of program information and should be included in moderation. The proposal narrative must be able to stand on its own in the application process and serves as a primary basis for the panel review's scoring.

For proposals related to Refugee Resettlement, see the relevant NOFO for details on the Proposal Format and Templates.

When submitting documents on Grants.gov, please pay close attention to the file naming conventions. If these guidelines are not followed, your application may be rejected:

- File attachment names should be made as short as possible; names cannot be longer than 50 characters. **Limit file attachment names**.

- Do not use any special characters (example: &,?,*,%,/,#,',) or spacing followed by a dash in the file (example: Application – 1).

- For word separation, use underscore (example: Attached_File.pdf) in naming the attachments.

- Additional information on grants.gov applications, including using attachments, UEI rollout information and other best practices may be found here.

3.B. <u>Instructions for Completing the PRM Proposal Narrative Template:</u> Use the following guidelines to address each section of the proposal. If organizations choose not to use the PRM narrative templates, proposals must still include the sections outlined below.

- **Section 1: Summary of Program:** Complete the table on the first page of the template with the name of the organization, points of contact, DUNS number, name of program, type and number of beneficiaries, proposed start and end dates, whether or not your organization is currently receiving PRM or other donor funding in country, and the program goal.

- **Section 2: Gap Analysis:** With respect to the specific location, activities, needs, and target beneficiaries of the proposed program, describe the current or anticipated elements of the humanitarian situation that this program seeks to address. Explain how this proposal addresses the protection and assistance needs of the target population which are not being met by other assistance efforts, including those being undertaken by the host country, the UN High Commissioner for Refugees (UNHCR), other international organizations,

and/or other NGOs. Provide specific evidence based on assessments that have been conducted, including any protection risk analysis, and other relevant background information collected to identify the needs of the target population. Indicate dates, sources of information, and describe the most critical needs, vulnerabilities, or capacities that were identified. If an organization's own needs assessment is being used as a justification for funding, we strongly recommend that the assessment be included as an annex to the proposal. Market and beneficiary capacity assessments for livelihoods activities must be briefly described in this section and attached in full to the proposal. (Note: **Failing to include market assessments for livelihoods activities will result in disqualification of the proposal**.)

- **Section 3: Profile of the Target Population:** Describe the anticipated beneficiary population for this program including the process of beneficiary targeting and selection; how refugees, returnees, host community members will be identified; and what actions you would take to ensure that potentially vulnerable and underserved groups are included. Clearly demonstrate that refugees, returnees, and/or other persons of concern as described in the relevant NOFO will constitute a minimum of 50% of the beneficiary population. (**Note: Proposals with a beneficiary population of less than 50% refugees, unless explicitly denoted otherwise in the NOFO, will be disqualified**.) Using the most recent data available and citing sources, provide the anticipated demographic profile of the beneficiaries including the numbers of refugees, IDPs, returnees, host country nationals, etc., as well as locations, gender, age, and any other unique factors or vulnerabilities. List the specific locations – including the names of camps, provinces, districts, villages, neighborhoods, temporary accommodation centers, etc. – of proposed activities. Provide GPS coordinates, where available. If the proposed activity locations are not yet known, explain how the sites would be chosen. Charts and tables are welcome in this section, as a means of cutting down on narrative text.

- **Section 4: Program Description:** This section should clearly and concisely outline the (1) key activities, (2) implementation plan, and (3) any implementing partners, including their role in the program. Other requirements include:

  a. An explanation of the link between the needs identified, activities, and outcomes expected.

  b. Identification of any goods or services to be provided.

  c. If the standards differ from the [Sphere Handbook's Minimum Standards](), a justification for the variance.

  d. In the case of multi-year funding applications, an explanation for why multi-year funding may be necessary for the program to succeed. Articulate and quantify cost efficiencies that may not otherwise be attained through single year programs that would be enabled through the provision of multi-year funding, how multi-year funding may reduce costs over time, how longer periods of consultation with beneficiary populations will inform programming and enable interventions to be studied and improved, and how the proposed activities in year one will inform and contribute to outcomes and impacts in years two and three, as applicable.

NOTE ON COVID-19: PRM recognizes the difficult circumstances under which organizations are currently operating because of the COVID-19 pandemic and will take them into consideration in proposal reviews. To the extent possible, organizations should address how COVID-19 and resulting risks, restrictions, and limitations will factor into their designated programs and attempt to ensure that proposed indicators and activities can be implemented under the challenging circumstances created by the COVID-19 pandemic.

  o **Section 4a: Protection Mainstreaming:** For all applications, the program description should assess and analyze how the proposed program will uphold [Sphere Protection Principles]() and mitigate potential protection risks because of proposed activities. Assistance activities should mainstream protection by analyzing the protection risks in relation to each specific programming sector. An analysis of the risks should inform how assistance is designed to minimize them and maximize protection of beneficiaries. Guidance and tools on protection mainstreaming can be found [here](). PRM strongly encourages its partners to ensure that projects adhere to the IASC Guidelines on [Inclusion of Persons with Disabilities in Humanitarian Action](). Applicants may introduce gender-specific risks in this section but provide a full analysis in the next section (4f).

Common protection risks for refugees, IDPs, and other conflict-affected individuals include:
- Exploitation and abuse;
- Violence against civilians;
- Denial of access to, destruction, or theft of property and assets;
- Family separation;
- Sexual violence and other forms of violence against women and girls; and/or
- Lack of access to, exclusion from, or denial of assistance, services, or documentation.

Programs using Cash and Voucher Assistance are encouraged to use the Cash Learning Partnership Protection Risks and Analysis Tool and include reference to its use here.

o **Section 4b: Gender Analysis:** For all applications, the program description should demonstrate analysis of the factors that promote or undermine gender equality in the program context. All proposals must address the specific needs of women and girls, as the primary populations that experiences gender oppression and discrimination. Proposals should also address the following areas to show that applicants have assessed, analyzed, and integrated gender dynamics within their program:

1. experiences of men, women, boys, and girls with a focus on the different familial roles, community privileges, and gender dynamics within the target population;

2. associated risks and threats experienced by women, girls, and other vulnerable populations based on their gender;

3. power imbalances and needs that arise based on gender inequalities that exist within the family or community; and

4. proposed responses that will address the above and mitigate any gender differences in access, participation, or decision-making that may be experienced by at-risk groups, particularly women and girls.

The gender analysis should aim to specify and target specific at-risk sub-populations of women and girls as applicable, such as women and girl heads of households, out-of-school girls, people who identify as lesbian, gay, bisexual, transgender, queer, or intersex (LGBTQI+), women and girls with disabilities, women and girl survivors of violence, married girls, and adolescent mothers who are often unaware of and excluded from programs and services and who may be the hardest to reach.

- **Section 5: Objectives and Indicators:** All program objectives and indicators must be included in the proposal narrative under Section 5 and not as a separate attachment. The following guidelines apply to any objectives and indicators included in proposals. The types and number of indicators will vary depending on the program design. **Strong indicators will be specific, measurable, achievable, relevant and reliable, time-bound, and trackable (SMART).**

  - Note that an indicator must be identified as an input, output, outcome, or impact indicator.
  - Details on how indicators will be measured must be included.
  - Sphere Standards should be used as targets, unless otherwise noted.

Standardized Indicators: In an effort to streamline the proposal writing/reviewing process and better measure the impact of the Bureau's work, **proposals must include at least one of PRM's standardized indicators that apply to the program per sector, if applicable.** Applicants are not prohibited from including custom indicators, particularly for sectors where no standardized indicator is listed. Applicants must fill in numerical and/or percentage targets for each indicator. Please see Appendix C for a list of programmatic sectors and modalities and descriptions of relevant standardized indicators.

Objectives must correspond with the programmatic sectors in Appendix C and will also be required in the budget detail attachment. Each objective should have at least two indicators. Each objective must have at least one outcome or impact indicator that can be measured in a 12-month timeframe. In

addition, multi-year proposals must specify objectives and indicators for <u>each</u> year of the program, including breakdowns of targets by year, and are strongly encouraged to include an impact indicator that can be measured over the full program duration. The following definitions are taken from the Department of State's Office of Foreign Assistance and Bureau of Budget and Planning.

- **Objective:** A statement of the condition or state one expects to achieve toward accomplishing a program, program, or process goal.

- **Indicator:** A particular characteristic or dimension used to measure intended changes. Performance indicators are used to observe progress and to measure actual results compared to expected results.

- **Input:** Input indicators tell us what is being invested or done:

  - *Example of Input Indicator: Number of staff hired or number of trainings held.*

- **Output:** A short-term, immediate result of a program, program, process that leads to longer-term outcomes. Outputs are products, goods, and services that result from activities. Output indicators do not measure change; they answer the question, "What is the immediate product of the activity?"

  - *Example of Output Indicator: Number of students, disaggregated by gender, who complete 3 hours of hygiene education (Target: 2,000 students).*

  - *Example of Output Indicator: Percentage of students attending classes regularly.*

  - *Example of Output Indicator: Number of students enrolled (disaggregated by age, gender)*

- **Outcome:** A result or effect that is caused by or attributable to the program, program or policy of the program activities. Outcomes may be short-term or long-term, intended or unintended, positive or negative, direct or indirect. An outcome indicator focuses on change and is a measure of the extent to which a program objective is being achieved.

  - *Example of Outcome Indicator: Percentage of children, disaggregated by gender, who demonstrate a 50% or higher knowledge gain on proper hygiene methods, as demonstrated in pre- and post-test scores (Target: 75%).*

  - *Example of Outcome Indicator: Percentage of students showing an improvement between mid and final exams (disaggregated by school, gender, age)*

- **Impact:** A result or effect that is caused by or attributable to a program, program, process or policy. Impact is often used to refer to higher level effects of a program that occur in the medium or long-term and can be intended or unintended and positive or negative.

  - *Example of Impact Indicator: Decrease in reported cases of diarrhea among student population (Target 10% decrease).*

  - *Example of Impact Indicator: Percentage of out-of-school children participating in program that enroll in public schools for the following school year.*

Selection of indicators should be informed by data that serves as a baseline. Data can be gathered through surveys or past experience of the NGO, international organization, or another NGO operating in the area. Organizations are encouraged to use existing data where possible but should note its reliability or accuracy if unclear. **For those programs without baseline data available at the time of proposal submission, NGOs are required to establish baseline data within the first month of the program period if the program is approved for funding by PRM.** A baseline is a measure of the situation before the program

starts that is used to measure change and monitor progress. Baselines must inform how targets are determined, and should rarely be set at "zero," particularly for follow-on programs. Indicators with baselines set at zero must explain how targets are determined. General information on how to plan a baseline study in a humanitarian context may be found here.

- Example Indicator: Percentage of new mothers who breastfeed following program intervention (outcome).

    o Baseline – 20% of new mothers breastfeed.

    o Target –50% of new mothers breastfeed.

Objectives and indicators will be formally referenced in the cooperative agreement for proposals that are selected for PRM funding and will be used by PRM to monitor and evaluate the program.

Accordingly, proposed objectives and indicators must be representative of program performance. Quarterly reports submitted to PRM must track progress against each of the indicators in the cooperative agreement. PRM recommends judicious review in selecting indicators that measure progress against proposed activities and/or results. Consultations with PRM may be necessary in order to arrive at a final set of agreed upon objectives and indicators.

PRM requires all overseas assistance program proposals must include the following protection outcome indicator under one of the objectives, regardless of sector:

    o *Percentage of beneficiaries who report an improved sense of safety and well-being at the end of the program, disaggregated by age and gender.*

If an applicant is unable to report on this indicator, the proposal must include a justification for why the indicator will not be applied to the program. Please see section A.C.1 of Appendix C for more details.

Cash and Voucher Assistance programs must report on the appropriate indicators from the selection in section A.C.2. of Appendix C.

- **Section 6: Monitoring and Evaluation Plan:** Describe the monitoring and evaluation plan. This section must include, at a minimum, the following elements:

    - A timeline to track progress that iterates the informational needs of the program across its cycle;

    - Plan for data collection, management, and analysis;

    - Monitoring and evaluation tools used (surveys, site visits, key stakeholder interviews, focus group discussions, interview logs, timelines, progress reports, etc.);

    - Citation of secondary data

    - Staff responsible for monitoring and evaluation; and

    - How problems identified during monitoring will be addressed, including plans for an assessment of impact.

- **Section 7: Accountability to Affected Populations (AAP):** Specifically for the proposed program, describe (1) how the target beneficiary population is involved in program design and implementation, and (2) the organization's procedures for collecting, analyzing, and responding to beneficiary feedback throughout the life of the program. See Appendix B.3 for information on PRM's policies. Additional information on best practices for AAP can be found at the IASC's Results Group (RG2) portal and resource library, PRM's AAP webpage and the Core Humanitarian Standard Alliance Frequently Asked Questions on AAP resource page.

(Note: This section in the proposal narrative is specific to the program being proposed and is distinct from the organization-level AAP framework requirement.)

- **Section 8: Coordination:** Describe the level of cooperation and coordination with relevant stakeholders including international organizations, other NGOs, government entities, other donors, and civil society that went into the program design, plans for partnerships, and plans to participate in ongoing coordination efforts. Please list current and anticipated challenges and suggested solutions. Applicants should include regional (and/or cross-border) coordination, as applicable. Descriptions of information-sharing plans or arrangements and use of existing information databases should be included. For programs targeting refugees or other populations for which international assistance is being coordinated by UNHCR or another UN agency, NGOs may wish to provide a letter of support from UNHCR or the relevant agency specific to the proposal (this is not an application requirement) and share how the proposed program falls within the scope of existing country humanitarian plans.

- **Section 9: Sustainability and Capacity-Building:** Explain how the program will contribute to local capacity-building elements including capacity building of beneficiaries, local civil society organizations, or the host government; incorporate longer-term sustainability objectives into humanitarian programs; increase work towards durable solutions, be handed over to another organization; or be financed by other means after PRM funding ends.

- **Section 10: Management and Past Performance:** Applicants must provide details on the organization's management structure, including specific management plans for the proposed program. Applicants should describe headquarters oversight of the proposed program. Applicants must furnish names, titles, and brief biographical information on the education and experience of key personnel in implementing the program and key supervisory personnel; (i.e., the members of the professional staff in a program supervisory position engaged for or assigned to duties under the award).

    - **Note - Applicant Vetting as a Condition of Award (Afghanistan, Iraq, Lebanon, Pakistan, Syria, and Yemen):** Applicants are advised that successful passing of vetting to evaluate the risk that funds may benefit terrorists or their supporters is a condition of award. Vetting information is also required for all sub award performance on assistance awards identified by the Department of State as presenting a risk of terrorist financing. Applicants may be asked to submit Risk Analysis information about their company and its key personnel via the secure web portal at https://ramportal.state.gov. If vetting is required, the Department of State's Risk Analysis and Management System (RAM) Team will contact applicants directly via email and instruct them on how to enter their data via the Secure Portal. Once a user is logged on to the Portal, there are links to help users input the required information. Failure to submit information when requested, or failure to pass vetting, may be grounds for rejecting your proposal.

Describe the organization's relevant experience working in the proposed location and sector. Share whether the applicant currently has permission to operate in the country. Proposals that seek to **continue current programs** must include details regarding any changes in key personnel over the past year, a detailed discussion of what has been achieved with that programming to date and challenges in meeting objectives. Proposals seeking to **implement new programs** should provide specific examples of past performance in similar programs in this country and/or sector. State explicitly any similar program the organization has implemented in the last three years for which it has received PRM funding, in any country/location. Organizations are encouraged to include an overview assessment of their programs funded by PRM in prior years.

    - **Section 10a. Consortia Proposals Only:** For purposes of consortia applying for PRM funding, PRM considers consortium to be a group of no less than three NGOs that comprise an agreement, combination, or group formed to undertake, or propose to undertake, an assistance activity beyond the resources of any one member. The consortium arrangement may allow for greater geographic coverage, inclusion of technical and sectoral strengths from multiple organizations, increased inclusion of local and national organizations, and the potential of much

greater impact through collaboration. If the applicant is applying as a consortium, a description of how the partnership will be organized and how lines of authority and decision-making will be managed across all team members and between the lead applicant and associate awardees should be included in the proposal. For consortia, one organization must be designated as the lead applicant. The prime applicant would be responsible for overall implementation of the proposed program activities, preparation/presentation of annual work plans, M&E planning, and required reporting to PRM. The prime applicant should designate a single individual to be the liaison with PRM, although PRM would reserve the right to communicate with sub-grantees. Applicants may form consortia in order to bring together organizations with varied expertise to propose a comprehensive program in one proposal. Submissions by organizations as part of a consortium do not count toward an individual organization's submission limit per a given NOFO's requirements.

- **Section 11: Sub-Contracts/Sub-Recipients:** List the full and exact name of any sub-contractors or sub-recipients the organization plans to fund through the proposed program, if known. Identify sub-grantees including, for each, the Legal Name, Organizational DUNS/UEI, Address, and Name of Organizational Representative. Describe how these organizations are or will be vetted to comply with U.S. Executive Orders and law, which prohibits transactions with and the provision of support to organizations associated with terrorism. If sub-recipients are unknown at the time of proposal, the above information must be provided for PRM Grants Officer approval prior to a sub-award or sub-contract before or after a prime award is issued.

  Note: All partners in a consortium and all sub-contracts/recipients to a prime must obtain a DUNS number or register for a SAM.gov UEI prior to an award or subaward being issued, however sub-awardees do not need to have a DUNS/UEI prior to application. See section 2.A. for information on the DUNS to UEI transition. Lead Applicants cannot apply through Grants.gov without being registered in SAM.gov and therefore must have a DUNS/UEI.

- **Section 12: U.S. Government Recognition:** Describe how the organization will recognize the U.S. government's financial support, provided through PRM, for the proposed program/activities (e.g., in publications, social media, website platforms, press releases, etc., and at the program site).

  If your organization believes that publicly acknowledging U.S. government financial support at the program site could potentially endanger the lives of the beneficiaries and/or the organization's staff, invite suspicion about the organization's motives, or alienate the organization from the population it is trying to help, provide a brief explanation and request an exemption from the program site acknowledgement requirement.

  See Section 3.E. for more details on U.S. government recognition requirements, of both awardees and sub-awardees, and reporting and compliance requirements for both.

3.C. Cost Proposal (Budget): PRM's recommended budget detail template delineates expenses by program objective, sector/modality, and by country, in the case of multi-country programs. PRM has developed instructions for completing the Budget Detail and the Budget Narrative. Costs listed in the Budget Detail and Budget Narrative documents must match.

(a) The Cost Proposal **must include** the following separate items (described in more detail below):

1. Application for Federal Assistance – the signed and completed SF-424, SF-424A, and SF-424B (if applicable) forms that are included in the Grants.gov application workspace;
2. Budget Summary;
3. Budget Detail;
4. Budget Narrative, disaggregated by year;
5. Organizational chart for award recipient and sub-recipient(s), if applicable;
6. Most recent Negotiated Indirect Cost Rate Agreement (NICRA), if applicable;
7. Most recent external audit report **is required prior to issuance of an award**, if chosen for implementation.

- **Signed SF-424:** Instructions for filling out form SF-424 can be found in Appendix H.

- **SF-424A and Budget Summary:** The SF-424A and Budget Summary must indicate the anticipated aggregate dollar amount for the major object class categories, to include, personnel, fringe benefits, travel, equipment, supplies, contractual, construction, other direct costs, and indirect charges. Please round each line-item cost to the nearest dollar. Instructions for filling out form SF-424A can be found in Appendix I.

- **SF-424B:** Form SF-424B is required only for those applicants who have not registered in SAM.gov, or those applicants who have not recertified their registration in SAM.gov since February 2, 2019 nor completed the online representations and certifications.

- **Budget Detail:** The Budget Detail must include descriptive line-items that support each cost listed within each object class category, broken down by each year of programming being proposed. **Budget Details must also include estimated funding by line item for each objective, the objective's corresponding sector(s) (and sub-sector/modality, as applicable) and country if proposed program spans multiple countries. Round each line-item cost to the nearest dollar (all costs must be in U.S. Dollars).** Ensure that costs are reflected under the most appropriate major object class category. The "Other Direct Costs" category should only by utilized for costs that do not fall under one of the major object class categories. Applicants must be able to articulate direct cost activity breakdowns along sectors and relevant subsectors as part of their submitted budget summary and detail.

- **Budget Narrative:** The Budget Narrative must include sufficient detail to enable the reviewer to obtain the same reasonable determination of cost. For example, the description for the line item for "Training Materials" within the object class category "Supplies" could read, "includes the cost of expendable supplies, such as paper, notebooks, folders, pens, and pencils with an estimated cost of $5 per participant. $5 X 1,000 participants = $5,000." **The budget narrative must provide justification for equipment and capital purchases equal to or greater than $5,000, including describing the status of or listing the existing inventory that is being augmented and/or replaced.** The Budget Narrative must provide sufficient explanation regarding the determination of cost for each year of the program.

- **Organizational Chart:** The Organizational Chart enables PRM to evaluate the organizational structure and determine the allocation of personnel costs for single and across multiple federal assistance awards. For example, if one full-time Regional Program Coordinator has responsibility that is divided equally for each of ten (10) programs, the salary for this position should be allocated across all awards in such a manner as to equal 100% of the time available for this position. This salary should not be more than 10% on each award. The cost of staffing needs associated with each proposal should only reflect the staffing required to carry out the required activities. Since PRM awards do not fund contingencies, budgets should avoid using the category of "back-stopping," but should provide a clear description of headquarters or regional oversight costs in the budget narrative so that lines of effort can be appropriately assessed.

- **Negotiated Indirect Cost Rate Agreement (NICRA):** Recipients of PRM assistance awards may be reimbursed for applicable indirect costs in accordance with their NICRA established by the Recipient's "cognizant" agency, if applicable. The cognizant agency for non-profit organizations is determined by calculating which federal agency provides the most grant funding. If the Recipient has executed an indirect cost rate agreement with a cognizant agency other than the Department of State, PRM will use that negotiated agreement as the basis for determining indirect cost reimbursement.

  In cases where no cognizant agency has been designated or the organization does not have an established negotiated indirect cost rate agreement with any federal agency, applicants may elect to charge a *de minimis* rate of 10% of modified total direct costs (MTDC) which may be used indefinitely (2 CFR 200, Subpart E, Section 414 Indirect (F&A) Costs). MTDC includes all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each sub award (regardless of the period of performance of the sub awards under the award).

  MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub award in excess of

$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs. PRM will refer award recipients without NICRAs to the Department of State office responsible for negotiation and approval of an indirect cost rate which would be applicable to future awards.

Note: Recipients must make every effort to obtain Final Rates from their cognizant agency, including but not limited to – if applicable – annual submission of indirect cost rate proposals.

(b) **The Cost Proposal must also include the following items**, as appropriate:

- **Multi-year funding:** Multi-year funding requests must also include a budget summary, budget detail, and budget narrative **for each year separately**. If the PRM budget template is used, organizations can use the same template for each year, on the understanding that the budget for years two up to three may need to be revised when the follow-on year's application is submitted. PRM cannot guarantee funding for follow-on years and awards for years two and three remain contingent upon continuing need, performance, and availability of funding [See Funding Timeframes and Multi-Year Funding section below for details].

- **Gender-Based Violence (GBV) Components:** Applicants whose proposals address GBV as either a stand-alone or an integrated element through their programs must estimate the total cost of these activities as a separate line item in their proposed budgets. This should include all prevention, response, or empowerment activities that are intended and designed to address violence against women and girls. Programs that involve women, but are not seeking to address the violence they experience, should not be included. PRM understands that this is only an estimate and uses the number to approximate how much of our funds are being used to address GBV in emergencies. Applicants are also asked to provide an estimate of cost of these activities by objective. PRM's budget template document contains a line reflecting this requirement, where this number can be included.

- **Recipient's Share of Cost:** Applicants should note that **cost-sharing is not a requirement** for PRM programs. PRM considers the inclusion of funding anticipated and/or received from other sources within budget documents. Applicants may note that these amounts are being provided "for information purposes only" and these amounts are not intended to be designated as "Recipient's Share of Cost" on the Federal Assistance Award coversheet (DS-1909). However, when the Recipient requests that the program budget include voluntary cost sharing, the Recipient will be held to the voluntary cost-sharing amounts designated on the Federal Assistance Award coversheet (DS-1909) as the "Recipient's Share of Cost" and will report on these amounts as part of required financial reporting. For these cases, the Cost Proposal must include the Recipient's Share of Cost in addition to the dollar amount requested from PRM. The Budget Summary and Detail must include the dollar amount(s) anticipated or received from other sources (including the organization's own funds and support from other donors) and the dollar amount of any in-kind contributions. Be sure to indicate the funding source for each line-item to include (1) the contribution to be made by the applicant; (2) the contribution to be made by other agencies or organizations (specifying each donor and amount); and (3) the amount of cash and in-kind contributions to be made from all other sources (specifying each donor and amount).

- **Identify Sub-grantees:** If applicable, the Budget Summary, Budget Detail, and Budget Narrative must specifically identify sub-grantees including, for each, the Legal Name, Organizational DUNS/UEI, Address, and Name of Organizational Representative. The Cost Proposal guidance provided above is recommended for use by sub-recipient(s) when preparing their budget documents. If the sub-recipient's budget is a separate document, the associated expenses must be clearly identified in the prime budget if not listed under the contractual object class category.

3.D. PRM Administrative Requirements: To be considered eligible for PRM funding, all application packages **must include the following** (Note: organizations must refer to the relevant **Notice of Funding Opportunity** announcement for **further information on additional requirements** for that announcement):

- **Proposal Narrative**, including objectives and indicators for each year, not exceeding state page limits.

- o The following outcome indicator under one of the objectives: "percentage of primary beneficiaries who report an improved sense of safety and well-being at the end of the program, disaggregated by age and gender."
  - o A gender analysis and a protection mainstreaming analysis.
  - o Cash and Voucher Assistance (CVA) modality must report on CVA indicators.

- **Budget Summary**: Disaggregated by each year of the program period.

- **Budget Detail**: Disaggregated by each year of the program period (if multi-year) and objective, sector and subsector, and costs divided by country (if multi-country).

- **Budget Narrative:** disaggregated by each year of the program period.

- **SF-424.**
  - o PRM requires that Box 21 of the SF-424 be checked.
  - o The SF-424 must be signed.
  - o See Appendix H for more instructions.

- **SF-424A.**
  - o See Appendix I for more instructions.

- **Protection from Sexual Exploitation and Abuse (PSEA) Code of Conduct**
  - o Note: Please ensure consistency with the updated 2019 IASC Task Force's six principles and that there is a country or regional implementation plan specific to the country or region of the application.

- **Security Plan** (Appendix B.8).

- **Risk Analysis** (Appendix F).

- **Organizational Accountability to Affected Populations (AAP) Framework**

- **Key personnel** for award applicant and sub-recipient(s)

- **Most recent external audit report <u>is required prior to issuance of an award</u>**

If applicable:

- **SF-424B form**. The SF-424B is required only for those applicants who have not registered in SAM.gov or recertified their registration in SAM.gov since February 2, 2019 and completed the online representations and certifications.

- Most recent Negotiated Indirect Cost Rate Agreement (**NICRA**), *or* a de minimis rate calculation if the applicant is eligible and elects to use the *de minimis rate*, as applicable (Section 3.D).

- A Market Analysis and Beneficiary Competency/Capacity Assessment for all proposals that include at least one livelihoods-sector objective.

- **Information in support of any cost-sharing/cost-matching arrangements**

- **Information detailing the source of any in-kind contributions**

- **Details on any sub-agreements** associated with the program (must be part of the budget submission as noted above),

- NGOs that have never received PRM funding must be prepared to demonstrate that they meet the financial and accounting requirements of the U.S. government by providing copies of the following with their funding application:

    o the most recent external financial audit;

    o for U.S.-based NGOs, proof of non-profit tax status including under IRS 501 (c)(3)and Employer ID (EIN)/Federal Tax Identification number;

    o for overseas-based NGOs, proof of registration in country of domicile; and

    o DUNS/UEI number.

3.E. Acknowledgement of U.S. Government Funding:

The following provisions will be included whenever assistance is awarded:

The Recipient shall recognize the U.S. Government's funding for activities specified under this award at the project site with a graphic of the U.S. flag accompanied by one of the following two phrases based on the level of funding for the award:

- Fully funded by the award: "Gift of the United States Government"
- Partially funded by the award: "Funding provided by the United States Government"

PRM highly encourages recipient organizations to recognize U.S. government funding on social media and website platforms. Recipients should tag PRM's Twitter account @StatePRM and/or Facebook account @State.PRM (rather than using hashtags). Additionally, the applicable U.S. Embassy should be tagged as well.

Additional information on proper display and use of the U.S. flag can be found on the Department of State's branding guidance website.

Updates of actions taken to fulfill this requirement must be included in quarterly program reports to PRM.

All programs, projects, assistance, activities, and public communications to foreign audiences, partially or fully funded by the Department, must be marked appropriately overseas with the standard U.S. flag in a size and prominence equal to (or greater than) any other logo or identity. The requirement does not apply to the Recipient's own corporate communications or in the United States.

The Recipient must appropriately ensure that all publicity and promotional materials underscore the sponsorship by or partnership with the U.S. Government or the U.S. Embassy. The Recipient may continue to use existing logos or project materials; however, a standard rectangular U.S. flag must be used in conjunction with such logos.

Do not use the Department of State seal without the express written approval from PRM.

Sub non-Federal entities (sub-awardees) and subsequent tier sub-award agreements are subject to the marking requirements and the non-Federal entity shall include a provision in the sub non-Federal entity agreement indicating that the standard, rectangular U.S. flag is a requirement.

Exemptions from this requirement may be allowable but must be agreed to in writing by the Grants Officer. (Note: An exemption refers to the complete or partial cessation of branding, not use of alternative branding). Requests should be initiated with the Grants Officer and Grants Officer Representative. Waivers issued are applied only to the exemptions requested through the Recipient's proposal for funding and any subsequent negotiated revisions.

In the event the non-Federal entity does not comply with the marking requirements as established in the approved assistance agreement, the Grants Officer Representative and the Grants Officer must initiate corrective action with the non-Federal entity.

For awards to administer Resettlement Support Centers:

Recipients shall recognize the U.S. Government's funding for activities, that are specified in awards, at the project site with a graphic of the U.S. flag accompanied by the phrase "Funding provided by the United States Government."

Recipients shall also comply with the "Style Guidelines for Resettlement Support Centers" dated April 12, 2012, as detailed in the Cooperative Agreement.

Electronic copies:

For an electronic copy of the approved U.S. flag logo and style guide, please send an email, with the phrase **PRM NGO Templates** (exactly as written in **bold**) as the subject line, to PRM's NGO Coordinator NGO Coordinator at PRMNGOCoordinator@State.gov.

Organizations receiving overseas assistance from the Bureau are required to acknowledge publicly the programs and activities funded with that assistance. As a condition of receipt of an assistance award, all materials produced.

3.F. Funding Timeframes and Multi-Year Funding: PRM will define the time frame and duration of activities in each unique NOFO announcement. Most PRM awards to NGOs are for 12-month periods; however, PRM has the option of issuing NOFOs offering provisional approval for 24 or 36-month periods. Each unique NOFO issued by PRM will clearly specify whether the Bureau will make use of this option.

Multi-Year Funding: When submitting the initial application, NGOs proposing multi-year programs must submit fully developed programs with detailed budgets, objectives, and indicators for each year of activities. NGOs will have the opportunity to update this information annually.

Applicants should use PRM's recommended multi-year proposal template for the initial multi-year application and PRM's single year template for updating years two and three of approved multi-year awards. Single and multi-year templates can be requested by sending an email with only the phrase **PRM NGO Templates** (exactly as written in **bold**) in the subject line, to PRMNGOCoordinator@state.gov. Multi-year proposals using the PRM template cannot exceed 20 pages, single year proposals cannot exceed 15 pages.

Indicators for multi-year proposals must include year-by-year breakdowns of baselines, targets, and cumulative totals. Multi-year funding applicants should use PRM's standard budget template to include the budget for each year of the program and must include a year-by-year breakdown of the budget for each proposed program year.

Multi-year applications selected for funding by PRM will be funded in 12- month increments based on the proposal submitted in the initial application as approved by PRM unless otherwise indicated. Each 12-month period of a multi-year award will have a separate cooperative agreement. Continued funding after the initial 12-month award requires the submission of an updated single-year proposal and budget summary and detail that covers the coming year. Awards in years two and three will be contingent upon available funding, performance, and continuing need. PRM cannot guarantee funding for follow-on years.

Proposals for years two up to three must be submitted to PRM no later than 90 days before the proposed start date of the new cooperative agreement (e.g., if the next program period is to begin on September 1, applications would be due no later than June 1). PRM will publish a directed announcement for these submissions on SAMS Domestic. It is strongly recommended that NGOs submit as early as possible after the directed announcement for continuation funding has been issued. Late applications will jeopardize continued funding.

> In years two and three, the NGO will submit a non-competed application in response to PRM's directed announcement. Multi-year applications selected for funding by PRM will be funded in 12-month

increments based on proposals submitted in the competing application and as approved by PRM. Continued funding after the initial 12-month award will the submission of the following:

- A noncompeting proposal narrative reflecting objectives and indicators for the next 12-month period
- Budget Detail for the next 12-month period
- Budget Narrative
- Risk Analysis
- Accountability to Affected Populations Framework
- PSEA Code of Conduct
- Security Plan
- Market Analysis (for all proposals that include at least one livelihoods-sector objective)
- Most recent Negotiated Indirect Cost Rate Agreement (NICRA), if applicable
- Most recent Audit, if applicable
- Organizational chart, if applicable
- Work Plan, optional

Indicators for multi-year proposals must include year-by-year breakdowns of baselines, targets, and cumulative totals.

Applicants should understand that receipt of prior funding for the same or similar programs in a given location is not a pre-condition for and does not guarantee continued PRM funding. PRM retains the right to re-compete programs at any point in time.

4.   Reporting Requirements

All program reports, financial reports, and other reports should be submitted via <u>SAMS Domestic</u>.

4.A. Program Reports: PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three-month period of performance during the validity period of the agreement. The final program report is due one hundred and twenty (120) days following the end of the agreement (the quarterly report template is also used for the final report). The submission dates for program reports will be written into the cooperative agreement. Partners receiving multi-year awards should follow this same reporting schedule and should still submit a final program report at the end of each year that summarizes the NGO's performance during the previous year.

The Bureau suggests that NGOs receiving PRM funding use the PRM recommended quarterly program report template. The suggested PRM NGO reporting template is designed to ease the reporting requirements while ensuring that all required elements are addressed. The Quarterly Program Report Template can be requested by sending an email with only the phrase **PRM NGO Templates** (exactly as written in **bold**) in the subject line, to PRMNGOCoordinator@state.gov. Programs related to Refugee Resettlement should use quarterly report templates specific to RSCs or Resettlement Agencies, as applicable.

The following guidance is designed to accompany the recommended reporting template. **It is not necessary to repeat information from one quarter to the next if content has not changed.**

- **Overall Performance:** Provide a discussion of the overall performance and results of the program to date, with reference generally to the objectives of the program. Specifically note the program's impact on the different needs of women, men, boys, girls, and vulnerable individuals.

- **Changes and Amendments:** Briefly explain any changes or amendments in the program from the original program plan (whether in implementation plan, activities, indicators, or outcomes), and contextualize them by describing what changes in needs or in the overall situation, or other factors required these changes.

- **Progress on Objectives and Indicators:** Include the objectives and indicators from the cooperative agreement and describe progress on each indicator target during the reporting period as well as cumulative progress to date. Use the table provided in the template.

- **Affected Persons:** Provide the number of those taking part in or affected by the program or relevant part of the program, disaggregated by gender, age, and other guidance specified in the proposal. The best practice standard is to provide this information in quantitative, tabular form.

- **Accountability to Affected Populations (AAP) (Q2 and Final Reports only):**   Describe the impact of AAP efforts implemented in the program and how these efforts have maximized accountability toward the affected population. Reporting must include explanations and specific examples of how beneficiary feedback has been obtained directly from beneficiaries on the quality and relevance of assistance provided and how the organization is responding to such feedback, including actions taken to change programming decisions. Organizations should also report whether and how they are participating in interagency collective actions related to AAP or in cross-cluster or cross-sectoral response-specific mechanisms.

- **Risk Management:** Describe how risks to program/program implementation were identified, managed, and mitigated, including any operational, security, financial (including fraud), personnel management, or other relevant risks.

- **Exit Strategy and Sustainability:** Briefly describe the exit strategy and closure steps for the project or program and an assessment of the sustainability of the results.

- **Collaboration/Coordination:** Describe the impact of any coordination efforts, synergies that developed, and recommendations for improving coordination in the future.

- **Lessons Learned (Final Report only):** Describe any lessons learned, and how these will be applied in future projects or programs.

- **Other:** Provide any additional information about the program, current trends, or other related issues that are important to note. This section might also include success stories that the organization would like to highlight to PRM.

- **Acknowledgement of PRM funding:** Complete the section acknowledging PRM funding during the reporting period. For acknowledgement plans that were outlined in the proposal but which have not occurred or are not being met, provide an explanation and indicate the steps being taken to comply with this contractual obligation. Additionally, please also include how sub-grantees are complying and implementing acknowledgement of PRM funding requirements.

4.B. Financial Reports: Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30th, April 30th, July 30th, October 30th). The final financial report covering the entire period of the agreement is required within one hundred and twenty (120) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within sixty (60) days of the finalization of the applicable Negotiated Indirect Cost Rate Agreement (NICRA).

Reports reflecting expenditures for the Recipient's overseas and United States offices should be completed in accordance with the Federal Financial Report (FFR SF-425) and submitted electronically in the Department of Health and Human Services' Payment Management System (HHS/PMS) and in SAMS Domestic, in accordance with award specific requirements. Detailed information pertaining to the Federal Financial Report including due dates, instruction manuals and access forms, is provided on the [HHS/PMS website](#).

4.C. Other Reporting Requirements:

- **Security:** All security incidents or threats involving NGO staff should be **promptly** reported to the UN Department of Safety and Security (UNDSS), the UN Office for the Coordination of Humanitarian Affairs (OCHA), the relevant U.S. Embassy, and the relevant PRM Regional Refugee Coordinator and the NGO Coordinator at PRMNGOCoordinator@state.gov.

- **Health:** PRM-supported health partners must report data to UNHCR's Health Information System, if functional in-country. Crude Mortality Rates (CMR) and Global Acute Malnutrition (GAM) survey data should be shared with the UNHCR Public Health and HIV Section.

- **Audits:** U.S.-based organizations that are recipients of PRM funding will have Federal funds awarded included in an appropriate audit or audits performed by independent public accountants in accordance with U.S. Government Auditing Standards established by the Comptroller General of the United States covering financial audits. Non-U.S. based organizations that are recipients of PRM funding will have Federal funds awarded included in an appropriate audit or audits independently and professionally executed in accordance with Generally Accepted Government Auditing Standards (GAGAS) either prescribed by a government's Supreme Audit Institution with auditing standards approved by the Comptroller General of the United States, or in accordance with the host country's laws or adopted by the host country's public accountants or associations of public accountants, together with generally accepted international auditing standards. Audits conducted under the terms of PRM-funded awards that are not required to be submitted electronically to the Federal Audit Clearinghouse (https://harvester.census.gov/facweb/) must be submitted directly to PRM as specified under award terms and conditions.

- **Corruption, Fraud, and Mismanagement:** Consistent with 2 CFR 200.113, PRM-supported entities must disclose, in a timely manner, in writing to the Office of the Inspector General (OIG) for the Department of State, with a copy to the cognizant Grants Officer, all allegations or violations of Federal criminal law involving fraud, bribery, or illegal gratuities potentially affecting the Federal award. This includes allegations of sexual exploitation and abuse, which reach the level of headquarters response and notification. Complete instructions for mandatory disclosure can be found in the U.S. Department of State Standard Terms and Conditions here.

5.   Contacting PRM

Recipients of PRM funding must submit all required reports to the relevant PRM Program Officer and Grants Officer assigned to the award through the SAMS Domestic system, or as stated within the cooperative agreement.

Electronic mail transmissions must include the following information:

1. Organization Name;
2. Agreement Number;
3. Report Type; and
4. Reporting Period.

PRM encourages and values both policy and program innovation, fully realizing the pace of innovation can be incremental to exponential. Additionally, applicants may address general questions about PRM's overseas assistance to NGOs, and provide feedback to PRM on its proposal, budget, and report templates, to PRM's NGO Coordinator: PRMNGOCoordinator@state.gov

APPENDIX A
NGO APPLICATION PACKAGE CHECKLIST

To be considered for PRM funding, organizations <u>must</u> submit a complete application package including the items below unless otherwise noted.

Note: PRM strongly recommends application packages be submitted in Adobe PDF, as Microsoft Word documents may sometimes produce different page lengths based on software versions and configurations. Exceeding page length limits, including through the inclusion of cover pages or footnotes, will result in disqualification. All documents must be in English.

- ☐ Proposal Narrative including objectives and indicators for each year of the program period

- ☐ Budget Summary, broken down by each year of the program period

- ☐ Budget Detail, broken down by each year of the program period, objective, sectors, and country (if proposal spans multiple countries)

- ☐ Budget Narrative for each year of the program period

- ☐ Signed completed SF-424

- ☐ SF-424A

- ☐ Most recent Negotiated Indirect Cost Rate Agreement (NICRA), if applicable or *de minimis* rate calculation if applicant elects to use the *de minimis* rate.

- ☐ Protection from Sexual Exploitation and Abuse (PSEA) Code of Conduct and a country or regional implementation plan specific to the country or region of the application.

- ☐ Security Plan.

- ☐ Risk Analysis (separate from proposal narrative and from the security plan).

- ☐ Accountability to Affected Populations (AAP) Organizational Framework.

- ☐ Key Personnel for award applicant and sub-recipient(s).

- ☐ Most recent external audit, **is required prior to issuance of an award, if proposal is chosen for implementation**

    If applicable:

- ☐ SF-424B
    - o (Note: Form SF-424B is only required for those applicants who have not registered in SAM.gov, or who have not recertified their registration in SAM.gov since February 2, 2019 nor completed the online representations and certifications.

- ☐ A market analysis and beneficiary competency/capacity assessment for all proposals that include **at least one livelihoods-sector objective.**

- ☐ Information in support of any cost-sharing/cost-matching arrangements

- ☐ Information detailing the source of any in-kind contributions

☐ Details on any sub-agreements associated with the program (must be part of the budget submission as noted above),

☐ NGOs that have not received PRM funding since the U.S. government fiscal year ending September 30, 2004 must be prepared to demonstrate that they meet the financial and accounting requirements of the U.S. government by submitting copies of:
- the most recent external financial audit,
- for U.S.-based NGOs, proof of non-profit tax status including under IRS 501 (c)(3) and Employer ID (EIN)/Federal Tax Identification number,
- for overseas-based NGOs, proof of registration in country of domicile, and
- a Data Universal Numbering System (DUNS) number.

APPENDIX B
PRM POLICIES AND STANDARDS

This appendix outlines the principles and standards that partners will be expected to meet <u>regardless of sector</u> as well as cross-cutting guidance that applies to multiple sectors. Please use this section as a reference and guidance for how to draft your program proposal and other required application materials.

A.B.1. <u>Minimum Humanitarian Standards</u>: NGO proposals for overseas assistance activities should reference the <u>Sphere Handbook Humanitarian Charter and Minimum Standards in Humanitarian Response</u> and relevant companion guides as the basis for design, implementation, monitoring, and evaluation in emergency settings, including proposed objectives and indicators. If it is determined that a specific aspect of Sphere Standards is inconsistent with U.S. government policy, U.S. government policy shall be the guiding principle. When relevant standards are not able to be met, an explanation should be provided as to why this is the case. Additional sector-specific standards, guidelines, and best practices for overseas assistance activities are addressed in <u>Appendix C</u>.

Recipients are reminded that Department of State Standard Terms and Conditions for NGO grants and cooperative agreements contains the following provision:

> **Prohibition on Abortion Related Activities:**
>
> *The recipient agrees that in accordance with <u>22 USC 2151b(f)</u> no foreign assistance funds provided by the award shall be used to:*
>
> *(1) pay for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions (Helms Amendment, 1973).*
>
> *(2) pay for the performance of involuntary sterilizations as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations (Involuntary Sterilization Amendment, 1978).*
>
> *(3) pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning (Biden Amendment, 1981).*

Furthermore, the recipient agrees in accordance with the Department of State's annual appropriation bill, that no funds provided by the award may be used to lobby for or against abortion (Siljander Amendment, 1981)..

Further, for awards that involve the provision of health services, the Bureau includes the following standard provision:

> **Health Projects:** *Implementing partners will also comply with the Quality of Care Standards in the international Inter-Agency Field Manual on Reproductive Health in Refugee Situations.*

And for awards that also include a family planning component, the Bureau includes the following standard provision:

> *The Recipient is reminded that funds provided under this agreement shall be used in a manner fully consistent with relevant U.S. law, including those provisions restricting use of funding only for voluntary family planning projects and further barring any use of funds for abortions as a method of family planning or to motivate or coerce any person to practice abortion.*

Urban Refugees: For programs in non-camp settings, PRM requires partners to adhere to the Bureau's <u>Principles for Refugee Protection in Urban Areas</u>.

Protection: PRM defines protection as: "Measures to safeguard the rights of PRM populations of concern by seeking to prevent or end patterns of violence or abuse; alleviate the trauma and related effects of violence or abuse; identify and promote durable solutions; foster respect for refugee, humanitarian, and human rights law;

and ensure that humanitarian actions uphold dignity, benefit the most vulnerable, and do not harm affected populations." PRM encourages partners to refer to the IASC Policy on Protection in Humanitarian Action, Sphere's Protection Principles, and complementary Professional Standards for Protection Work, among other resources. For guidance on programs specifically designed to prevent and respond to protection concerns, see Appendix C.1 on Protection sector and subsectors.

Protection Mainstreaming: PRM expects each proposal's program description, regardless of sector, to demonstrate protection mainstreaming, including by identifying potential protection risks associated with the program and how they will be mitigated. Protection mainstreaming is the process of incorporating protection principles and promoting meaningful access, safety, and dignity in humanitarian aid. When properly conducted, context-specific protection mainstreaming minimizes the risk of harm, violence, exploitation, and abuse through the delivery of humanitarian assistance. PRM encourages partners to identify and address the needs of vulnerable populations in all sectoral programs (see A.B.2 Vulnerable and Underserved Persons of Concern below). For additional guidance and tools on protection mainstreaming, including sector-specific guidance, please refer to the Global Protection Cluster's Protection Mainstreaming page.

Community-based Protection: Wherever possible, protection proposals should use a community-based protection approach. Community-based protection is an approach that draws on the knowledge, skills, and experiences of the affected community to identify and address key protection issues. Community-based protection is an effective and sustainable method of reaching protection outcomes as a result of identifying protection needs through consultation with the affected community and through strengthening the community's ability to address them. Affected communities often develop positive self-protection mechanisms; humanitarian agencies should seek to strengthen and build upon those mechanisms. Every application of community-based protection must be context-specific, keeping the affected community at the center of decision-making.

Gender-based Violence: PRM believes that gender-based violence (GBV) is a key barrier to addressing gender equality in humanitarian settings. We encourage partners to submit proposals that are targeted or multi-sectoral, and fund both types of approaches and interventions. All programs should be designed and informed by the specific context, situation, and operating environment of the target population, supporting and partnering with local women's organizations, wherever possible. Partners must utilize the IASC Guidelines on Gender-based Violence (GBV) Interventions in Humanitarian Settings to inform their GBV program, in particular risk reduction or mitigation activities. PRM encourages partners to target and provide services to those most at-risk, particularly women and girls, as well as consider addressing the intersection of multiple vulnerabilities (e.g. disabled women and girls, women who are the single head of household, etc) when designing their programs. For additional guidance on program interventions specifically designed to address GBV, see Appendix C.11.

A.B.2. <u>Vulnerable and Underserved Persons of Concern</u>: PRM will only consider funding NGO programs that include a target beneficiary base of at least 50 percent refugees, returnees, and/or other persons of concern as described in the relevant NOFO. PRM prioritizes the needs of vulnerable and underserved segments of these populations and strongly encourages proposals that can demonstrate steps to ensure that within the target population, programs reach vulnerable and underserved groups. These groups may include: women; children; adolescents; LGBTQI+ individuals; older persons; the sick; persons with disabilities; and members of minority communities. Applicants must also describe a proposed approach for both identifying and targeting vulnerable participants, as well as conducting outreach on programming for them. PRM strongly promotes women's equal access to resources and their participation in managing those resources. Applicants to PRM funding must demonstrate protection mainstreaming and submit a Gender Analysis that describes how the NGOs will incorporate vulnerable and underserved populations into program design.

Persons with Disabilities: PRM strongly encourages its partners to ensure that programs adhere to an inclusive, rights-based approach consistent with the UN Convention on the Rights of Persons with Disabilities; where humanitarian actors promote the full and effective inclusion of displaced persons with disabilities; accessibility, by ensuring that the physical environment, all facilities, services, shelters, schools, health services, organizations and information are accessible to displaced persons with disabilities; and independent living, by taking actions to ensure that displaced persons with disabilities can live as independently as possible. Special attention should be paid to the rights of displaced women, children, and older persons with disabilities, and their situations.

A.B.3. **Accountability to Affected Populations (AAP):** The Bureau requires evidence of how partners will obtain feedback directly from beneficiaries on the quality and relevance of assistance provided in all proposal narratives, monitoring and evaluation plans, and final reports. Additionally, an organizational AAP framework must be submitted with all application packages at time of submission that discusses the organization's collection and analysis techniques and explains how beneficiary feedback is used to change programming decisions where appropriate. We encourage partners to align their AAP frameworks with the IASC's Four Commitments to Accountability to Affected Populations. AAP Frameworks should demonstrate the Interagency Standing Committee (IASC) commitments to AAP leadership/governance; transparency; feedback and complaints; participation; and design, monitoring and evaluation. PRM will consider funding activities aimed at incorporating beneficiary feedback, as part of overall program designs. Additional resources on accountability to affected populations, as well as how PRM is working to promote AAP can be found at PRM's AAP webpage, IASC's Results Group (RG2) portal and resource library, and the Core Humanitarian Standard Alliance Frequently Asked Questions on AAP resource page. (Note: Section 7 of the proposal narrative is specific to the program being proposed and is distinct from the organization-level AAP framework requirement, which is a separate document also required as part of the application package.)

A.B.4. **Conflict Sensitivity:** All PRM partner program activities must be conflict sensitive and must adopt at the very least a "do no harm" approach to avoid aggravating existing conflict dynamics. Further resources on how to adopt a "conflict-sensitive" approach to humanitarian assistance programming can be found here.

A.B.5. **Coordination:** Proposals must demonstrate the extent to which the applicant organization coordinates and cooperates with the national and local host government(s), UN agencies (especially UNHCR), relevant international organizations (IOs), USG agencies, donors, and NGOs. Participation in existing sector and geographic coordination structures is strongly encouraged. Programs must target critical gaps identified and agreed upon through this coordination effort, which must be fully documented in the coordination section of proposal narratives.

A.B.6. **Protection from Sexual Exploitation and Abuse:** Among PRM's primary programming concerns is that beneficiaries are protected from sexual exploitation and abuse in humanitarian relief operations. PRM is equally concerned with discrimination, sexual harassment, and sexual abuse perpetrated against aid workers, including sexual harassment and abuse against female aid workers, by colleagues in the workplace. In accordance with the Inter-Agency Standing Committee's (IASC) Plan of Action to protect beneficiaries of humanitarian assistance from sexual exploitation and abuse (SEA), applicants must submit their organization's Code of Conduct (Note: This is not a country-specific code of conduct). PRM requires that codes of conduct, consistent with the updated 2019 IASC's six core principles, are shared widely throughout the organization, are signed by staff, and have an associated country or regional implementation plans. The Code of Conduct document is required upon submission. PRM requires applicants to include with the Code of Conduct, a country or regional implementation plan specific to the country or region of the application. The plan should outline how employees are trained and otherwise made aware of the Code of Conduct, how violations of the Code of Conduct against beneficiaries are reported and followed up on in a safe and confidential manner, how beneficiaries are made aware of the Code of Conduct and a mechanism to report any violations, and whether there is a focal point in the country or regional office for the Code of Conduct. Where possible, PRM encourages organizations to also make reference to sexual harassment, how the organization is addressing this issue and promoting culture change, such as mutual respect and equality amongst staff in all program locations.

A.B.7. **Risk Management:** PRM requires applicants to include a risk analysis as a separate document in their program application package. The document should address any potential programmatic or administrative risks, including financial or reputational risks arising from fraud or corruption. The analysis should also assess the level of legal risk that the proposed program may inadvertently benefit terrorists or their supporters. The risk analysis should provide detail using objective data points, including cost-benefit, constraints, limitations and assumptions. Proposals must state how identified risk factors will be mitigated and assess the remaining or "residual" risk level. A suggested format for a risk analysis document and additional considerations for the analysis is found in Appendix F.

A.B.8. Safety and Security: When implementing any PRM award, the implementing organization is responsible for ensuring that adequate measures are taken for the security and safety of the organization's personnel, including local staff, and any PRM-funded property, equipment, and vehicles. Proposals should include a security plan and protocol that are designed specifically for the local operating environment based on a security assessment. A generic, organization-wide plan is not acceptable. PRM strongly recommends that organizations be aware of any relevant travel advisories issued by the State Department; ensure that all U.S. citizen employees register at the relevant U.S. embassy while working overseas; adhere to the UN's security guidelines in any given location; and use InterAction's suggested guidance for implementing the Minimum Operating Security Standards (MOSS). Security requirements should be included in the proposed budget. Failure to maintain adequate security precautions may result in suspension of PRM funding.

A.B.9. Environmental Protection: PRM considers environmental protection to be of paramount importance, and thus all PRM-funded programs should carefully consider the potential environmental impacts of program activities. Humanitarian practitioners should consider these impacts during the design phase of all programs and adopt what they determine to be the most relevant mitigation techniques.

APPENDIX C
PROGRAMMATIC SECTORS, SUB-SECTORS, MODALITIES, AND STANDARDIZED INDICATORS

The below describe PRM definitions and guidance on sectors and modalities. The sector and modality descriptions should inform the selection of indicators and provide expectations and best practices on programming within those sectors/modalities. Additionally, proposal budgets should be broken down by sector(s) corresponding to the stated program objectives (see Appendix D for detailed instructions on the Budget Detail).

Official U.S. government definitions for activities related to the sectors of **Food, Health, Nutrition, Protection, Shelter and Infrastructure, Water and Sanitation, and Livelihoods** can also be found at the "Foreign Assistance Standardized Program Structure and Definitions" developed by the Office of the Director of U.S. Foreign Assistance.

A.C.1. **All Sectors ("Sense of Safety"):** In order to ensure greater accountability for protection outcomes, all overseas assistance program proposals **must include** the following outcome indicator under one of the objectives:

Sector	Sub-Sector	Indicators
All	All	• (Outcome) Percentage of beneficiaries who report an improved sense of safety and well-being at the end of the program, disaggregated by age and gender.

If an applicant is unable to report on this indicator, the proposal must include a justification for why the indicator will not be applied to the program.

"Sense of safety" is defined as: A reasonable age- and circumstance-appropriate level of comfort and satisfaction in security levels as well as a lack of fear in surroundings (i.e. in and around places or individuals). "Sense of well-being" is defined as: A general sense of either comfort, trust, health, mental/psychosocial stability, functionality, and/or freedom from abuse, neglect, exploitation, or violence. The definition of well-being should be context-specific and locally validated.

This requires a solid baseline around questions best qualifying safety and well-being in that particular context to be established at the start of the intervention and measured again at the end of the intervention. Data must be disaggregated by age and gender.

Baseline and end-line surveys should have a 95 percent confidence level and 5 percent margin of error. The sample size can be calculated using: https://www.checkmarket.com/sample-size-calculator/

A.C.2. **Capacity Building**: The strengthening of knowledge, ability, skills, and resources to help individuals, communities, or organizations to achieve agreed goals.

A.C.2.1. **Capacity Building: NGO/CBO:** The strengthening of knowledge, ability, skills, and resources to help non-governmental or civil society organizations achieve agreed goals.

A.C.2.2. **Capacity Building: Local Governments:** The strengthening of knowledge, ability, skills, and resources to help national or local governments achieve agreed goals.

Please see the relevant NOFO for specific instructions regarding the use of these indicators, which can be included as part of larger programs.

Standardized Capacity-Building Indicators:

Sector	Indicators

	(with standards, if applicable, and levels of disaggregation required)
Capacity-Building	• (Outcome) Number and percentage of individuals receiving services from local government entities supported by PRM who report improved satisfaction, compared with baseline, with services received from those entities, disaggregated by sex, government entity, and location in which services were sought • (Output) Number of government authorities trained in budgeting and/or planning functions, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national) • (Outcome) Percentage of individuals who improve their knowledge/skills of budgeting and/or planning, compared with baseline, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national) • (Output) Number of government authorities trained in their country's laws and/or policies, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national) • (Output) Number of government authorities trained in international law, international human rights law, and/or international humanitarian law, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national) • (Outcome) Percentage of individuals who improve their knowledge/skills of their country's laws and/or policies, compared with baseline, disaggregated by sex, government entity, and level of governance (sub-departmental, departmental, national)

Capacity-Building Resources

• [Evaluation of the Effectiveness of PRM-Supported Programs to Build the Capacity of Colombian Municipal Authorities to Assist Internally Displaced Persons, Proposed Indicators for PRM-Supported Local Capacity-Building, 2016](#)

A.C.3. <u>Cash and Voucher Assistance (CVA)</u>:

*Note: While PRM treats CVA as a modality rather than a sector, **PRM requires all partners using cash and/or vouchers as a modality, regardless of whether the CVA is multi-purpose or sector-specific, to use the***

appropriate standardized indicator(s) below to report on transfers. *CVA can be used to achieve the objectives in the sectors described in this Appendix, but should not be described as a standalone sector.*

CVA refers to all programs where cash transfers or vouchers for goods or services are directly provided to recipients. PRM supports the effective, efficient, and appropriate use of CVA. CVA can be delivered to recipients via a variety of mechanisms, including direct cash or cash transferred through an intermediate agency, vouchers (both paper and electronic), and various forms of electronic cash transfers via mobile phones, prepaid cards or local or international financial institutions. CVA includes unrestricted or non-conditional cash as well as more restrictive voucher schemes, both disbursed in physical and/or electronic mediums. When determining modalities of assistance (i.e. cash, vouchers, or in-kind assistance), PRM supports a context-driven approach based upon analysis of the appropriateness, feasibility, and cost of the modality, as well as whether that modality is suitable for achieving the program objectives. The Modality Decision Tool for Humanitarian Assistance serves as a useful foundational document for determining the appropriate modality.

CVA can offer people in need choice and dignity by supporting their individual empowerment while increasing efficiencies, supporting local actors, and stimulating local economies. PRM recognizes an inextricable relationship between assistance and protection – any agency doing one without considering the ramifications of the other puts beneficiaries at enormous risk. While NGOs may determine the most effective and empowering methods of delivering humanitarian assistance, whether through CVA or other modalities, protection must remain paramount. Regardless of the modality, PRM strongly encourages NGOs to demonstrate an understanding of the protection ramifications of the selected modality.

Cash and Voucher Assistance (CVA) Indicators (*Required, as appropriate, for all programs using CVA as a modality)

Modality	Indicators
Cash and Voucher Assistance	(Output) Total volume (USD value) transferred through cash (transfer value only, excluding overhead/support costs) (Output) Total volume (USD value) transferred through vouchers (transfer value only, excluding overhead/support costs) (Output) Number of beneficiaries receiving cash assistance, disaggregated by gender and age (Output) Number of beneficiaries receiving voucher assistance, disaggregated by gender and age

CVA Budget Guidance: When intended to achieve sector-specific outcomes, CVA should not be pulled out as a separate sector in the budget. Rather, the budget for activities undertaken using CVA as a modality should be reflected in and reported under the sector in which outcomes will be achieved. For example, if the partner provides a cash transfer to a beneficiary to purchase inputs to start up a new business, that funding should be reflected as "Livelihoods and Economic Empowerment." However, **partners may report on support provided through multipurpose cash assistance (MPCA) as a standalone budget "sector"** given how difficult it is to disaggregate MPCA programming into the individual sectors it supports. PRM uses CaLP's definition of MPCA: "Multipurpose Cash Transfers (MPC) are transfers (either periodic or one-off) corresponding to the amount of money required to cover, fully or partially, a household's basic and/or recovery needs. The term refers to cash transfers designed to address multiple needs, with the transfer value calculated accordingly. MPC transfer values are often indexed to expenditure gaps based on a Minimum Expenditure

Basket (MEB), or other monetized calculation of the amount required to cover basic needs. All MPC are unrestricted in terms of use as they can be spent as the recipient chooses. This concept may also be referred to as Multipurpose Cash Grants (MPG), or Multipurpose Cash Assistance (MPCA)."

CVA Resources

- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#), 2018 Edition

- [UNHCR's Guide for Cash-based Interventions](#)

- [Enhanced Capacity Response – Protection Risks and Benefits Analysis Tool](#)

- [Barcelona Principles for the Digital Payments in Humanitarian Response](#)

- [Global Protection Cluster's Essential Protection Guidance and Tools](#)

A.C.4. Core Relief Items: Provision of standard, life-sustaining items such as mattresses, blankets, plastic sheets, containers for water, cooking utensils, and hygiene kits through in-kind, cash, or voucher assistance. Also referred to as non-food items (NFIs).

Standardized Core Relief Items (Non-Food Items or NFI) Indicators:

Sector	Indicators
Core Relief Items	• (Output) Number of refugee households with access to: (1) cooking facilities or (2) a safe cook stove. • (Output) Number of refugee households with access to lighting. • (Output) Number of beneficiaries with access to 250g of soap per person per month, disaggregated by gender and age. • (Output) Number of beneficiaries with access to 200g of laundry soap per person per month, disaggregated by gender and age. • (Output) Number of women and girls with sanitary materials. • (Output) Number of parents who report having at least 12 washable diapers for children up to two years of age. • (Output) Number of beneficiary households with a kitchen set including eating utensils. • (Output) Number of beneficiary households with one 10-20 liter water container for storage and one 10-20 liter water container to transport water. • (Output) Number of beneficiaries who have at least one full set of clothing in the correct size, appropriate to the culture, season and climate.

	• (Output) Number of beneficiaries with access to blankets, bedding and sleeping mats.
	• (Output) Number of households with at least one mosquito net that is free of holes.
	• People have sufficient and appropriate quality clothing
	o Minimum two full sets of clothing per person, in the right size and appropriate to culture, season and climate, and adapted to any particular needs
	• People have sufficient and appropriate quality items for safe, healthy and private sleeping
	o Minimum one blanket and bedding (floor mat, mattress, sheeting) per person. Additional blankets/ground insulation required in cold climates
	o Long-lasting insecticide-treated nets where needed
	• People have sufficient and appropriate items to prepare, eat and store food
	o Per household or group of four to five individuals: two family-sized cooking pots with handles and lids, one basin for food preparation or serving, one kitchen knife and two serving spoons
	o Per person: one dished plate, one set of eating utensils and one drinking vessel
	• Percentage of the affected population who have access to a sufficient, safe and affordable energy supply to maintain thermal comfort, prepare food and provide lighting
	• Number of incidents of harm to people using stoves or storing or sourcing fuel
	o Establish baseline and measure progress to 0

Core Relief Items Resources

- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](), 2018 Edition

- [Enhanced Capacity Response – Protection Risks and Benefits Analysis Tool]()

- [Global Protection Cluster's Essential Protection Guidance and Tools]()

A.C.5. <u>Inclusion of Persons with Disabilities</u>: Activities that identify and lower barriers for persons who have long-term sensory, physical, psychosocial, intellectual, or other impairments to access or participate in humanitarian programs, protection, and services.

A.C.6. <u>Education</u>: Activities which aim to restore and maintain access to safe and quality education during humanitarian crises and to support out-of-school children to quickly enter or return to quality learning opportunities.

PRM considers education to be lifesaving and a critical component in a humanitarian response. PRM prioritizes programs that seek, wherever possible, to support refugee children through existing national education systems. Where mainstreaming is not possible, curricula for stand-alone programs should be designed to comply with national curriculum standards issued by the relevant government ministry of the refugee hosting country to further advance inclusion in the future. Activities should be accessible to and inclusive of children with different types of disabilities and gender sensitive. PRM will prioritize education programs that demonstrate clear linkages with the child protection response. Subject to parameters outlined in specific NOFO announcements, PRM considers activities that fall under the education sector to include, but are not limited to:

- Activities designed to improve girls' and boys' equitable access, enrollment and retention in early childhood education, primary education, and secondary education.

- Programming that facilitates mainstreaming into local schools including supporting teachers and/or supplies in those schools, school fees, transportation costs or other related fees in order to facilitate access to local schools.

- School building so long as any schools built with PRM funding conform to applicable national government guidelines regarding school infrastructure and comply with host country or regional standards for accessibility in construction.

- Activities that seek to improve learning outcomes, including teacher training, access to examinations, community/caregiver engagement, catch up and/or remedial education.

- Alternative education to include accelerated learning to support out of school and/or over age learners. Alternative education should conform to national standards and ensure clear pathways back to formal education or other vocational opportunities.

Standardized Education Indicators

Sector	Indicators (with standards, if applicable, and levels of disaggregation required)
Education	(Output) Number and percentage of students enrolled and regularly attend schools/learning spaces (disaggregated by gender and age groups 2-4, 5–13 and 14–18) (Outcome) Number and percentage of schools/learning spaces providing students with course completion documents that are recognized or accepted by the education authorities of their country (Outcome) Number of children who are identified as at risk and referred to child

	protection case management by education staff each month and receive services
	• (Outcome) Number of teachers and other education personnel receiving periodic, relevant, and structured training according to needs and circumstances

Education Resources

- [Child Protection Minimum Standards.](#) *Alliance for Child Protection in Humanitarian Action, 2012*

- [INEE Minimum Standards for Education: Preparedness, Response, Recovery](#)

A.C.7. <u>Food Security</u>: Activities that ensure the availability and adequate access to sufficient, safe, and nutritious food to maintain a healthy and active life through in-kind, cash, or voucher assistance.

Food security interventions seek to tackle the immediate and underlying causes of malnutrition. This can include provision of food, cash, and/or vouchers, the promotion of and support for adequate infant and young child feeding and care practices, and collecting, analyzing, and interpreting food security data to inform programming.

Standardized Food Security Indicators:

Sector	Indicators
Food Security	• (Output) Number of beneficiaries who receive some form of food assistance (cash, vouchers, food commodities), disaggregated by gender and age.
	• (Outcome) Number of households in which a member reports skipping meals due to food scarcity, disaggregated by gender and age.
	• (Outcome) Number and percentage of beneficiaries who report borrowing food or money for food from family or friends.
	• (Outcome) Average percentage of beneficiary household income spent on food, disaggregated by season and type of food assistance received (if applicable). Note: Results must indicate whether beneficiaries are receiving in kind food assistance, cash assistance, and/or vouchers.

Food Security Resources

- [The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response](#)

- [Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations,](#) 2006

- [Guide to Measuring Household Food Security](#). U.S. Department of Agriculture, Food and Nutrition Service, 2000

A.C.8. <u>Health:</u> Interventions and programs based on internationally recognized, evidence-based strategies, global guidance, and best practices that address the major causes of morbidity and mortality. Does not include mental health and psychosocial support.

To avoid establishing parallel, refugee-specific systems, health strategies should use national treatment and prevention protocols where possible, and to adhere to international standards where host government capacity is limited. In general, interventions should be coordinated with the Ministry of Health (MoH) and other relevant partners. Any health infrastructure built with PRM funding must conform to national MoH guidelines. In refugee reintegration settings, PRM-funded NGOs providing health services should obtain a signed Memorandum of Understanding (MoU) with local or national MoH officials. The MoU should acknowledge the NGO's presence and work, and include a plan that details the process and timeline for eventual handover of health services to the MoH and other relevant actors, including if/when health staff currently being paid by the NGO will be added to MoH payrolls. This may be appropriate in refugee settings as well.

NGO partners implementing tuberculosis (TB) programs with refugee populations are advised to use the Centers for Disease Control and Prevention's TB [Monitoring and Evaluation toolkit](#) at least once per fiscal year in order to evaluate and improve program quality.

A.C.8.1. <u>Health: Reproductive Health:</u> Provision of health services or interventions that address the reproductive processes, functions, and system at all stages of life.

Standardized Health Indicators:

Sector	Sub-Sector	Indicators
Health	Camp	(Output) Number of consultations/clinician/day (Target: Fewer than 50 patients per clinician per day). (Output) Measles vaccination rate for children under five (Target: 95% coverage). (Outcome) Percentage of deliveries attended by a skilled birth attendant in a health care facility (Target: 100%). (Outcome) Percentage of reporting rape survivors given post-exposure prophylaxis (PEP) within 72 hours (Target: 100%). (Outcome) Percentage of eligible rape survivors given emergency contraception within 120 hours (Target 100%). (Output) Primary Care: Number of beneficiary patients, by sex and age, receiving primary health care assistance. (Output) Emergency Care: Number of beneficiary patients, by sex and age, receiving care for trauma or sudden illness.
	Non-Camp	(Output) Capacity-building: Number of health care professionals/administrators trained on providing health services to beneficiary populations. (Output/Outcome) Referrals: Number of beneficiaries referred to appropriate services, and percentage of those referred who received needed services.

			• (Output) Community Outreach: Number of beneficiaries who received targeted messages on health-related services available to them. • (Output) Number of consultations/clinician/day (Target: Fewer than 50 patients per clinician per day). • (Output) Health Staffing: Number of total consultations per health care provider, disaggregated by refugee/national, sex, and age. • (Outcome) Patient Satisfaction: Percentage of beneficiary patients receiving primary and emergency care who express satisfaction with services received. • (Outcome) Post Exposure Prophylaxis: Percentage of reporting beneficiary rape survivors given PEP within 72 hours (Target: 100%). • (Output) Primary Care: Number of beneficiary patients, by sex and age, receiving primary health care assistance. • (Output) Emergency Care: Number of beneficiary patients, by sex and age, receiving care for trauma or sudden illness.

Note: Programs with a health and/or nutrition component are strongly encouraged, as appropriate, to measure the Crude Mortality Rate (CMR) for the population and Global Acute Malnutrition (GAM) in children under age five – two core indicators of the impact of humanitarian assistance. PRM requires that, in addition to required program reports, partners share survey data on CMR and GAM with the UNHCR Public Health and HIV Section, including through the UNHCR's Health Information System (HIS) where available.

A.C.9. <u>Livelihoods And Economic Empowerment</u>: Activities that allow people to acquire and access the capabilities, knowledge, goods, and assets necessary for their survival, safely and with dignity. This may include livelihoods, financial and numerical literacy, and business development activities. PRM will prioritize impact-driven programs that seek to improve the economic well-being and self-reliance of beneficiaries. Applicants should consider including plans to measure the impact of proposed activities on household self-reliance, such as through the Self-Reliance Index or through other indicators. Wherever possible, programs should also seek to restore or build upon former livelihoods of affected populations.

Proposals that include at least one livelihoods objective require a market assessment and beneficiary capacity assessment to be submitted along with the proposal. Programs may include, but are not limited to:

- Job placement or referral services;
- Income-generating activities;
- Temporary work programs/cash for work;
- Micro-finance;
- Financial literacy training and services,
- Agriculture, livestock activities;
- Vocational training.

In addition, applicants for PRM funding must note the following guidance:

- NGOs **must** include a recent market analysis in their application packages for all proposals that include at least one livelihoods-sector objective. Market analyses should apply an age, gender, and diversity (AGD) lens, considering market use and accessibility by all sub-sets of the population of concern. The

proposal narratives should explain clearly how the market analysis informed the program design. The market analysis may be included as an attachment to the application. If available, applicants may submit a recent market analysis performed by another partner or for another purpose for the same context, in lieu of performing a new market analysis.

- NGOs **must** include a livelihoods capacity/competency assessment evaluating existing skills, knowledge, and interests of beneficiaries and include the findings in the proposal narrative.

- Proposal narratives should also provide an overview of the broader context in which the livelihoods activities will take place, including any legal or policy obstacles to formal employment.

- Competitive proposals will describe how the program will engage women and/or other vulnerable groups in the design and implementation of the program, and how it will consider specific needs of female participants.

- Program proposals should demonstrate consideration of the relevant standards and indicators outlined in the Minimum Economic Recovery Standards, which have been accepted as a companion to the Sphere standards.

Additional resources such as The Women's Refugee Commission Building Livelihoods Manual; Emergency Market Mapping and Analysis Toolkit; and Market Development in Crisis-Affected Environments: Emerging Lessons for Achieving Pro-Poor Economic Reconstruction may be useful.

Standardized Livelihoods and Economic Empowerment Indicators:

Sector	Indicators
Livelihoods and Economic Empowerment	(Outcome) Number and percentage of program participants, disaggregated by gender and population (refugee, national) who self-report increased income by end of program period as compared to the pre-program baseline assessment. (Outcome) Number and percentage of program participants, disaggregated by gender and population (refugee, national) who self-report increased household savings by end of program period as compared to the pre-program baseline assessment. (Outcome) Number and percentage of targeted beneficiaries that have continued livelihood activities for more than 6 (or, for multi-year programs, 12) months. (Outcome) Number and percentage of targeted beneficiaries that have increased their agricultural production since the beginning of the program. (Outcome) Number and percentage of beneficiaries who gained wage employment as a result of PRM assistance. (Outcome) Number and percentage of beneficiaries who remain wage employed for

	more than 6 (or, for multi-year programs, 12) months.
	• (Outcome) Percentage of sampled non-camp program beneficiaries who:
	o Are able to describe accurately the procedures for receiving permits to conduct business.
	o Apply for and receive for business permits.
	• (Outcome) Number and percentage of program participants with businesses registered.
	• (Outcome) Number and percentage of beneficiaries who started their own businesses.
	• (Outcome) Number and percentage of beneficiaries with own business/self-employed for more than 6 (or, for multi-year programs, 12) months.
	• (Output) Number of enterprises, including farmers, receiving business development or financial services from PRM assistance.
	• (Outcome) Number and percentage of beneficiaries using skills obtained in a vocational training for income generation within six months of completion of training.
	• (Output) Number of private sector business partnerships created.

Livelihoods and Economic Empowerment Resources

- [Minimum Economic Recovery Standards](#)

- [UNHCR Operational Guidelines on the Minimum Criteria for Livelihoods Programming](#)

A.C.10. <u>**Mental Health And Psychosocial Support (MHPSS)**</u>: Any type of local or outside support that aims to protect or promote psychosocial well-being and/or prevent or treat mental disorder.

Proposals should focus on the MHPSS needs of populations at risk and emphasize the participation of beneficiaries, highlighting a community-based approach when applicable. Programs should be integrated whenever possible into wider systems such as primary health care systems, protection efforts, and existing community support mechanisms. PRM highly encourages that considerations for staff and volunteer MHPSS and care be included in programs and proposals. Applicants should refer to [the IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings,](#) the [WHO's mhGAP Intervention Guide,](#) and the [WHO/UNHCR mhGAP Humanitarian Intervention Guide](#) for best practices.

Standardized Mental Health and Psychosocial Support Indicators

Sector	Indicators (with standards, if applicable, and levels of disaggregation required)
Mental Health and Psychosocial Support	• (Output) Number of patients receiving psychological first aid.

	• (Output) Number of teachers trained in and receiving follow-up support on how to support learners' psychosocial well-being.
	• (Output) Percentages of medical facilities, social services facilities, and community programs that have staff trained to identify mental disorders and to support people with mental health and psychosocial problems.
	• (Outcome) Percentage of people satisfied with mental health and psychosocial care they or their families receive.

MHPSS Resources

- [Reflections on Identifying Objectives and Indicators for Psychosocial Programming, The Psychosocial Working Group, 2005](#)

- [The Inter-Agency Standing Committee Guidelines on Mental Health and Psychosocial Support (MHPSS) in Emergency Settings](#)

- [IASC Common Monitoring and Evaluation Framework for Mental Health and Psychosocial Support in Emergency Settings: With means of verification (Version 2.0)](#)

A.C.11. Nutrition: Activities that aim to safeguard and improve the nutritional status of emergency-affected populations.

This can include provision of special nutritional products for vulnerable groups, the promotion of and support for adequate infant and young child feeding and care practices, treatment of acute malnutrition, and collecting, analyzing, and interpreting nutrition data to inform programming.

Standardized Nutrition Indicators:

Sector	Indicators

Nutrition	• (Output) Number and percentage of infants 0-6 months who are exclusively breastfed.
	
	• (Output) Number and percentage of children under 5 years diagnosed with anemia, disaggregated by gender.
	
	• (Output) Number and percentage of women of reproductive age (15-49 years) diagnosed with anemia.
	
	    • Percentage of moderate acute malnutrition (MAM) and severe acute malnutrition (SAM) cases with access to treatment services (coverage)
	
	        o >90 percent in formal camps

	• The proportion of discharges from targeted supplementary feeding programs who have died, recovered or defaulted
	
	    o Died: <3 percent
	
	    o Recovered: >75 percent
	
	    o Defaulted: <15 percent

Nutrition (Non-Camp)	• (Output) Number and percentage of infants 0-<6 months who are exclusively breastfed.
	
	• Percentage of moderate acute malnutrition (MAM) and severe acute malnutrition (SAM) cases with access to treatment services (coverage)
	
	    o >50 percent in rural areas
	
	    o >70 percent in urban areas
	
	• The proportion of discharges from targeted supplementary feeding programs who have died, recovered or defaulted
	
	    o Died: <3 percent
	
	    o Recovered: >75 percent
	
	    o Defaulted: <15 percent

Nutrition Resources

- The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response
- Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations, 2006
- UNHCR Standardized Expanded Nutrition Survey for Refugee Populations

A.C.12. Protection: Measures to safeguard the rights of PRM populations of concern by seeking to prevent or end patterns of violence or abuse; alleviate the trauma and related effects of violence or abuse; identify and promote durable solutions; foster respect for refugee, humanitarian, and human rights law; and ensure that humanitarian actions uphold dignity, benefit the most vulnerable, and do not harm affected populations.

PRM pursues four broad protection goals: 1) to address or prevent violations of human rights and humanitarian principles; 2) to fill protection gaps in the overall humanitarian response to a crisis; 3) to strengthen and monitor standards, indicators, and institutional capacities for protection; and 4) to address protection challenges posed by diverse populations of concern.

PRM seeks to address a range of protection threats to its populations of concern, including but not limited to:
- forced return;
- denial of humanitarian access;
- restrictions on freedom of movement;
- insecure humanitarian sites;
- militarization of humanitarian sites;
- gender-based violence;

- sexual exploitation and abuse;
- family separation;
- forced conscription;
- improper registration;
- denial or lack of proper identity documents;
- unfair distribution of assistance;
- restricted access to education, particularly for girls;
- tensions with host communities;
- dangerous coping strategies; and
- forced evictions.

Protection Guidance: Proposals **must** break out protection costs by subsectors below when applicable.

A.C.12.1. Protection: Legal: Provision of legal information, counseling, and/or assistance, or development of an environment that promotes respect for human rights of displaced and conflict-affected people.

A.C.12.2. Protection: Child Protection: Empowering children by creating safe and protective environments, ensuring access to essential services, working with caregivers, supporting national protection systems, and increasing children's participation in issues affecting their lives.

PRM strives to empower children by creating safe and protective environments, ensuring access to essential services, working with caregivers, supporting national protection systems, and increasing children's participation in issues affecting their lives. PRM prioritizes programs that strengthen protection systems, including case management, support quality child friendly spaces, promote access to quality and inclusive education, address psycho-social needs, reflect community-based approaches, and ensure age-appropriate child participation. PRM also seeks to ensure programs address the most vulnerable children, including unaccompanied and separated children and children with disabilities. PRM prioritizes programs that support family-based care and age-appropriate alternative care. PRM also recognizes that for youth to realize their full potential, they need a safe passage from adolescence into adulthood with opportunities to develop the knowledge, skills, and resilience for a productive and fulfilling life. PRM supports youth related programs that provide access to quality education, vocational, and life skills, and address unique psycho-social needs through sports for protection, community leadership, and social cohesion, among others. PRM also seeks to ensure child protection is mainstreamed throughout the humanitarian response. Applicants are encouraged to use the Child Protection Minimum Standards to guide program design.

Examples of high-quality indicators that partners should reference or consider, include:

- Number and/or percentage of unaccompanied minors who are placed in long-term alternative care and are receiving individual case management support, disaggregated by gender and age.

- Percentage of targeted children involved in child protection programs reported to be showing a decrease in symptoms associated with mental and psychosocial distress compared to baseline

- Percentage of children, youth, caregivers or community members surveyed who have knowledge of dangers and safe behavior to prevent unintentional injury to children.

Child Protection Resources

- [Child Protection Minimum Standards](). Alliance for Child Protection in Humanitarian Action, 2019

- Tools and resources found at the [Alliance for Child Protection in Humanitarian Action]()

- [UNHCR Framework for the Protection of Children]()

A.C.12.3. Protection: Gender Based Violence (GBV): Activities aimed at combating or mitigating the impacts of any harmful act that is perpetrated against a person's will and that is based on socially ascribed (i.e. gender) differences between males and females.

PRM's goal is that women, girls, and survivors of GBV receive coordinated, high-quality services and their needs are addressed in a consistent and timely manner so that they can live free from violence and have access to equal opportunities. We strive to ensure all programs are accessible, safe, compassionate, coordinated, appropriate, and survivor centered. PRM prioritizes service provision as a life-saving activity and entry point for survivors to receive comprehensive care. We also support prevention, empowerment, capacity building, coordination, and learning activities as part of our holistic approach.

PRM does not require mandatory indicators related to GBV programs, given the differences in programs and approaches in various context and regions. PRM supports a variety of activities, and encourages partners to develop indicators that are specific to their program and considered to be essential, lifesaving GBV interventions, such as:

- Response to the immediate and lifesaving needs of at-risk women and girls, and survivors of GBV, through health, psychosocial, case management, and legal services;

- Community mobilization and behavior change activities that aim to address the social norms that perpetuate gender inequality and condone violence against women and girls;

- Networking and group interventions that enable at-risk communities to come together and receive informal support from one another;

- Social or economic empowerment activities that are directly linked to reducing risk of violence and create opportunities for women and girls to develop their skills, gain income, participate in community structures and fora, and make decisions for themselves and their families;

- Local capacity building and training opportunities that focus on GBV preparedness in advance of potential emergencies or sustainability of GBV programs;

- Staff support or debriefing activities that recognize the importance of processing trauma and other stories that local staff, organizations, or beneficiaries may experience.

- Program evaluations that assess program effectiveness and impact;

- Sub-cluster coordination to improve leadership for the sector.

PRM encourages partners to design activities that target hard to reach populations and the most vulnerable within any community. In the context of GBV programs this may include: women and girl heads of households, out-of-school girls, women and girls who identify as LGBTQI+, women and girls with disabilities, women and girl survivors of violence, married girls, and adolescent mothers. Programs should aim to increase protective assets, social networks, and access to information and services that will enhance safety and reduce any immediate risks of GBV.

Examples of high-quality indicators that partners should reference or consider, include:

- Percent of survivors who demonstrate an improvement in their safety or well-being

- Percent of survivors who are successfully referred to and receive relevant, appropriate services

- Percent of women and girls participating in activities who know where to report for support or services

Please refer to the following guidelines for other recommended indicators:

Gender-Based Violence Monitoring Resources

- [Gender-Based Case Management Outcome Monitoring Toolkit](#)

- [Gender-Based Violence Research, Monitoring, and Evaluation with Refugee and Conflict-Affected Populations: A Manual and Toolkit for Researchers and Practitioners](#)

- [Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Settings, IASC, 2015](#)

PRM encourages NGO partners to reference and adopt the Inter-Agency Standing Committee's Statement on the Centrality of Protection, as well as the IASC Protection Policy.

Standardized Protection Indicators: (*Required for all programs using at least one protection sector objective)

Sector	Indicators
Protection	• (Output) Number of beneficiaries reporting protection violations who are referred to and receive assistance from appropriate legal, medical, or psychosocial support services, disaggregated by gender and age. • (Output) Number of staff trained in recognizing and responding to protection incidents and concerns. • (Output) Number of beneficiary population who have been issued individual identity documents, disaggregated by gender and age. • (Output) Number and percentage of reported cases of protection violations that are adjudicated by local legal systems. • (Outcome) Percentage of beneficiaries satisfied with the timing of the protection and assistance.

Protection Resources

- The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response, 2018 Edition

- Protection: An ALNAP guide for humanitarian agencies. ALNAP, 2005

- Professional Standards for Protection Work. ICRC, 2018

- Minimum Agency Standards for Protection Mainstreaming. World Vision, CARE, Oxfam, Caritas, 2012

- Protection Mainstreaming Guidance and Tools, Global Protection Cluster, 2017

- Understanding Community-based Protection, UNHCR, 2013

- Core Humanitarian Standard: CHS Guidance Notes and Indicators

A.C.13. Shelter: Programs that strive to enable beneficiaries to access and live in dignity in secure, habitable, and appropriate shelters that allow them to resume critical social and livelihoods activities and improve their quality of life through in-kind, cash, or voucher assistance.

PRM-funded shelter programs must strive to enable beneficiaries to access and live in dignity in secure, habitable, and appropriate shelters that allow them to resume critical social and livelihoods activities and improve their quality of life. Additional resources, such as UNHCR's Global Strategy for Shelter and Settlements 2014-2018, Accessing Services in the City: The Significance of Urban Refugee-Host Relations in Cameroon, Indonesia and Pakistan (Church World Service), and A Handy Guide to UNHCR Emergency Standards and Indicators, may also be useful.

Standardized Shelter Indicators:

Sector	Indicators
Shelter	• (Output) Number of total affected population in the program area receiving shelter assistance in camps, disaggregated by gender
	• (Outcome) Percentage of the affected population who have adequate living space in and immediately around their shelters to carry out daily activities
	o Minimum 3.5 square meters of living space per person, excluding cooking space, bathing area and sanitation facility
	o 4.5–5.5 square meters of living space per person in cold climates or urban settings where internal cooking space and bathing and/or sanitation facilities are included
	o Internal floor-to-ceiling height of at least 2 meters (2.6 meters in hot climates) at the highest point
	• Percentage of shelters that meet agreed technical and performance standards and are culturally acceptable
	• Percentage of people receiving shelter assistance that feel safe in their shelter
	• (Outcome) Percentage of shelters and/or settlement sites that are located in areas with no or minimal known natural or man-made threats, risks and hazards
	• (Outcome) Number and percentage of beneficiary shelters that shield against rain and/or snow.
	• (Outcome) Percentage of shelter beneficiary households using shelter and non-food item (NFI) assistance as a means to address other needs
	• (Outcome) Percentage of shelter beneficiaries who remained in their domicile after program completed
	• (Outcome) Percentage of targeted households satisfied with the shelter assistance they receive(d)
	• (Output) Number of beneficiary population in the program area receiving shelter assistance (e.g. cash,, rehabilitation, etc.), by gender.

	• (Outcome) Number and percentage of beneficiaries involved in landlord disputes who report knowing where and how to receive legal assistance for housing disputes.
	• (Output/Outcome) Number and percentage of beneficiaries in landlord disputes who received legal or financial assistance from NGO and were able to remain in their shelters.
	• Percentage of shelters that meet agreed technical and performance standards and are culturally acceptable
	• Percentage of people receiving shelter assistance that feel safe in their shelter
	• Percentage of shelters and/or settlement sites that are located in areas with no or minimal known natural or man-made threats, risks and hazards
	• (Outcome) Number of households receiving structural upgrades to reduce local hazards which could include earthquake, floods, high winds and/or freezing temperatures.
	•

Shelter Resources

- Urban Shelter Guidelines, Norwegian Refugee Council/Shelter Centre, 2010

- The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response

- Global Shelter Cluster Indicator Guidelines

- Practical Guide to the Systematic Use of Standards & Indicators in UNHCR Operations

A.C.13. <u>Socio-cultural Inclusion And Social Cohesion</u>: Activities that ensure all components of the population, including the most marginalized, are able to access services and engage with their communities equitably. Activities aimed to prevent and alleviate tensions between displaced and host communities.

A.C.14. <u>Water, Sanitation, And Hygiene (WASH)</u>: Interventions that aim to reduce morbidity and mortality because of diseases related to water, sanitation, and hygiene through in-kind, cash, or voucher assistance.

WASH programs must use Sphere minimum standards, with an overall goal of preventing mortality and morbidity among populations of concern. For all water interventions, NGOs must provide information about water quality testing procedures, including the timing of testing as appropriate during rainy seasons. PRM will not typically fund water points that require maintenance parts not available on the local market. The exception to this is when NGOs can provide compelling justification for using such infrastructure in emergency situations or if the NGO can demonstrate that they can establish a supply chain for parts not currently available in the local market. Hygiene programs must ensure beneficiaries receive the Sphere minimum standard of soap for bathing and for laundry (as opposed to washing hands with ash, for example), as well as considerations for managing menstrual hygiene. All WASH interventions should minimize the impact on the local environment.

Standardized WASH Indicators:

Sector	Indicators

Water, Sanitation, and Hygiene (WASH)	• (Camp) Average volume of water used for drinking and domestic hygiene per household
	   o Minimum of 15 liters per person per day
	   o Determine quantity based on context and phase of response
	• (Camp) Maximum number of people using water-based facility
	   o 250 people per tap (based on a flow rate of 7.5 liters/minute)
	   o 500 people per hand pump (based on a flow rate of 17 liters/minute)
	   o 400 people per open hand well (based on a flow rate of 12.5 liters/minute)
	   o 100 people per laundry facility
	   o 50 people per bathing facility
	• Percentage of household income used to buy water for drinking and domestic hygiene
	   o Target 5 percent or less
	• Percentage of targeted households who know where and when they will next get their water
	• Queuing time at water sources
	   o <30 minutes
	• Percentage of communal water distribution points free of standing water
	• Percentage of water systems/facilities that have functional and accountable management system in place
	• (Output) Number and percentage of beneficiary households located within 200m of a water point.
	• (Output) Number and percentage of beneficiary population with access to a toilet or latrine < 50m from dwelling, disaggregated by gender.
	• Percentage of affected people who collect drinking water from protected water sources
	• Percentage of households observed to store water safely in clean and covered containers at all times

	• Percentage of water quality tests meeting minimum water quality standards
	
	    o <10 CFU/100ml at point of delivery (unchlorinated water)
	
	    o ≥0.2–0.5mg/l FRC at point of delivery of delivery (chlorinated water)
	
	• Turbidity of less than 5 NTU

WASH Resources

- Water, Sanitation, and Hygiene Guidelines. Mercy Corps

- The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response,

- Practical Guide to the Systematic Use of Standards & Indicators in UNCHR Operations, 2006 (pg. 25, 160-169).

APPENDIX D
BUDGET DETAIL INSTRUCTIONS

The following provides guidance for the preparation of a proposal's budget detail using PRM's recommended budget detail template.

The budget detail template includes columns reflecting the Bureau's federal funding, other (non-federal) cost-share funding, as well as the total funding need broken down by objective. The Bureau anticipates that an organization will include each of the budget categories listed below when preparing an estimate of expenses for carrying out a proposed program whether the program is fully PRM funded or jointly funded with multiple donors.

The use of the PRM budget detail template is highly recommended and estimates must be rounded to the nearest dollar. (Note: Information included in the budget detail must correspond to and be overviewed in the separate budget summary and be explained in greater detail in the separate budget narrative.) Budgets must be broken down by program objective (Note: If any given objective consists of more than one sector/modality, additional objective columns may be added to incorporate.) **Applicants must now provide in the budget details the expected estimated direct costs broken down by the sectors/modalities defined in these guidelines that correspond to the respective objectives of the proposed program.. Where there are questions, please be conservative in your estimation. (Note: See Appendix C for the list and definitions of these sectors.) Additionally, for proposed programs that span more than one country, applicants must also provide estimated direct costs disaggregated by country and objective.**

Protection – GBV Guidance: Applicants whose proposals address gender-based violence (GBV) through their programs **must** estimate the total cost of these activities as a separate sub-sector line item in their proposed budgets, per the budget template. This includes funds that are being used to support women and girls and/or promote gender equality through activities that reduce or address violence against women and girls. Where there are questions, please be conservative in your estimation. (Note: Programs that involve or integrate women and girls as part of another sectoral intervention do not count towards this number.) PRM understands that this is only an estimate. As noted, PRM's budget template document contains a sub-sector line reflecting this requirement.

CVA Budget Guidance: CVA should not be pulled out as a separate sector in the budget. Rather, the budget for activities undertaken using CVA as a modality should be reflected in and reported under the sector in which outcomes will be achieved. For example, if the partner provides a cash transfer to a beneficiary to purchase inputs to start up a new business, that funding should be reflected as "Livelihoods and Economic Empowerment." However, **partners may report on support provided through multipurpose cash assistance (MPCA) as a standalone budget "sector"** given how difficult it is to disaggregate MPCA programming into the individual sectors it supports.

For multi-year proposals - the <u>budget summary</u>, <u>budget detail</u>, and <u>budget narrative</u> must be submitted and disaggregated by year, per year, for each year.

To request copies of the PRM-recommended budget templates please send an email, with only the phrase **PRM NGO Templates** (exactly as written in **bold**) in the subject line, to PRM's NGO Coordinator (PRMNGOCoordinator@state.gov).

REQUIRED BUDGET CATEGORIES:

PERSONNEL:

This category includes annual salaries/wages, stipends, allowances, differentials, bonuses or extra month's salary and any anticipated termination/severance pay for any personnel to be charged to the proposed agreement.

All positions listed must indicate the amount of time (expressed as a percent), the rate of pay, and the associated unit measurement (hour/month/year) anticipated to fulfill program implementation. For

consultants, the proposed daily rate to be paid as compensation and the number of consultant days that are anticipated to be paid, must be shown.

The Bureau will not authorize personnel positions to be charged based on a flat monthly fee that includes salaries, benefits, travel costs, etc.

If your organization anticipates the payment of employee termination and/or severance pay during the proposed funding period, the Bureau will consider such costs an allowable charge to the agreement to the extent of the Bureau's responsibility in accordance with each employee's direct relation to the Bureau's funded activities. For example, an employee charged to Bureau activities for one-half of their employment with the organization shall have only one half of their termination or severance costs charged to the agreement.

Other types of allowances such as housing and education or differentials must be shown separately and identified against the position to be charged. They should be based on established policies and should be made available to all employees of the organization in similar situations or positions, not just to employees funded by the U.S. government. The Bureau's policy is to limit the payment of allowances to amounts which do not exceed the rates approved for government employees in similar situations.

FRINGE BENEFITS:
This category identifies the various fringe benefits offered to employees in additional to regular wages and salaries for which the Bureau will be charged under the agreement. While the cost of individual benefits need not be specified, the total cost, including the percentage of salaries, if appropriate, should be shown. The benefits must be consistent with the organization's established personnel policies and practices for all of its employees, not just for those employees who may be funded by the government.

TRAVEL:
List travel for all employees and consultants. Travel must be identified as U.S. domestic, in-country, or international. Indicate the per diem rate for each city of travel. All anticipated trips must be listed and will be included as part of the approved award proposal budget. To ensure certain costs are allowable within an award, recipients of PRM funding may seek prior written approval through their Bureau Program Officer for travel (specifically international travel) not already fully detailed in the program budget. For example, if the program budget includes "international travel to attend a workshop," the recipient may seek prior written approval once it is known that the travel will be for a workshop in Kenya, although the absence of prior written approval will not affect the allowability of the cost.

It is the Bureau's policy not to reimburse organizations for per diem allowances, both overseas and domestic, which exceed the rates approved for government employees. Current rates can be found here.

EQUIPMENT:
This category must include a complete and detailed listing of all non-expendable equipment anticipated to be purchased for program activities and to be charged to the agreement. Non-expendable equipment is that which has a useful life of one year or more and an acquisition cost of $5,000 or more per unit. However, consistent with the recipient's policy, lower limits may be used. The program budget must identify which of the above is followed and must be consistently applied to all U.S. government funding arrangements. PRM's Office of the Comptroller must be informed, in writing, of a recipient's policy and the threshold amount if equal to or greater than $5,000. Any equipment that may be determined, after the initial budget approval, to be required to meet the program objectives must be specifically approved by the Bureau in writing prior to the purchase. Equipment not included in the approved budget or subsequently approved by the Bureau will be considered an unallowable cost under the agreement.

List all equipment that will be leased, including vehicles. For each new vehicle to be purchased and charged to the agreement, please state the purpose for which it will be used and indicate whether the vehicle will be assigned to a motor pool or to an individual. Also, please list separately any vehicle that may currently be owned or leased that is expected to be charged to the agreement. Bureau policy prohibits the use of program vehicles and drivers for personal use, which includes commuting between home and place of employment.

Any non-direct program or unofficial use of a vehicle must be reimbursed at the appropriate government rate.

For organizations that have **not** previously received Bureau funding: Include a summary description of your property management procedures that are currently in place. This will be incorporated into the Bureau's funding arrangements with your organization.

SUPPLIES:

Show all tangible personal property by appropriate category (office supplies, classroom supplies, medical supplies, etc.) that may be purchased and charged under the agreement. The budget narrative must describe the types of items included in each of the categories and the proposed use.

CONTRACTUAL:

List all proposed sub-contracts or sub-recipients that are anticipated to carry out the proposed program, i.e., security guards, additional personnel, sub-agreements with an implementing partners etc. A consulting agreement with a consultant or contractor should be listed in this section. These agreements are subject to the regulations set forth in 2 CFR 200, Appendix II.

CONSTRUCTION:

Generally, the Bureau limits the use of Federal assistance awards to implement new construction programs and programs involving significant construction activities consistent with Department-wide policy. An applicant may, however, request consideration of minor construction related activities as part of its proposal that consist of, but are not limited to the renovation or rehabilitation of existing permanent structures with a sufficient description of the activities and/or related statements of work to be performed. The construction, renovation, or rehabilitation of temporary structures should be excluded from this section.

OTHER:

Any other direct cost not clearly covered herein. Examples are computer use, telephone (telex, fax, long distance international and local in-country costs **must** be listed separately), postage, space rental (list programed rental items), audit fees, insurance, utilities, etc. Each item must be listed separately showing an estimated cost.

For guidance in determining allowable insurance costs, please refer to 2 CFR 200, Subpart D, Section 310 Insurance Coverage. The Bureau will no longer allow charges to its agreements for costs of insuring equipment purchased with program funds against loss or damage, except for unique or high expense items. The Bureau will allow charges for automobile liability and comprehensive insurance coverage.

INDIRECT COSTS:

Show the amount of indirect costs and the base amount on which it is determined. It must be indicated whether the rate has been approved by a government cognizant agency and the type of rate (provisional, predetermined or fixed). A copy of the most current Negotiated Indirect Cost Rate Agreement (NICRA) must be submitted for the recipient and sub-recipient(s), if applicable. In accordance with new guidance from the United States Office of Management and Budget (OMB), applicants with no NICRA may elect to charge a *de minimis* rate of 10% of Modified Total Direct Costs (MTDC) which may be used indefinitely (2 CFR 200, Subpart E, Section 414 Indirect (F&A) Costs). A *de minimis* rate calculation must be provided if the applicant elects to charge the *de minimis* rate.

APPENDIX E
BUDGET NARRATIVE INSTRUCTIONS

The purpose of the budget narrative is to explain the costs that PRM expects an organization to include in each budget category when preparing an estimate of expenses for carrying out a proposed program whether the program is fully funded by PRM or jointly funded with multiple donors.

Costs listed in the Budget Detail and Budget Narrative documents must match. The budget narrative, **for each year for multi-year proposals**, must include the following and be included in a single document:

Note: Instructions and examples in italics may be deleted.

PERSONNEL:

Year 1:
Identify each position, base salary and time each person will spend on the project, and indicate its support of the program and/or sector(s). If not provided in the budget detail, indicate the numerical justification for the total cost. For example:

> *Director of Assistance Programs – This individual is responsible for the overall management of the program. He/she ensures compliance with all the terms and conditions of the agreement including implementation, program and financial reporting. $85,000/year x 10% of time = $8,500.*

If possible, include anticipated position title(s), the proposed daily rate to be paid as compensation, and the number of consultant days that are anticipated.

Years 2/3: (as applicable)

FRINGE BENEFITS:

Year 1:
If an established NICRA includes a rate for fringe benefits, please ensure that you utilize and/or adjust the rate appropriately.

If the fringe benefit rate is not included in the NICRA, please provide a copy of the company policy and/or rates (as a percentage) that are being charged per category of benefits.

Years 2/3: (as applicable)

TRAVEL:

Year 1:
All headquarters and/or program employees' travel must be identified via mode of travel, departure and arrival city, purpose, unit of measurement, and duration of trip. Please note that the movement of program participants and supplies is a separate transportation line item. For example:

> *10 in-country trips via air transportation will be conducted to implement workshops and training sessions. Roundtrip airfare from Kinshasa to Goma for 5 employees is anticipated. Each trip will include 5 days of per diem per employee.*

> *In-country Airfare – 10 trips x 5 employees x $200 = $10,000*
> *Lodging - 10 trips x 5 employees x 5 days x $161/day = $40,250*
> *Per diem - 10 trips x 5 employees x 5 days x $57 = $14,250*

Years 2/3: (as applicable)

EQUIPMENT:

Year 1:
Include a detailed listing of all non-expendable equipment anticipated to be purchased for program activities including justification. For example:

> *Land Rover – Due to the challenging road conditions, inclement weather, terrain conditions, and geographical location(s) of program sites, it is deemed reasonable and necessary to purchase a new vehicle. Vehicle x 1 quantity = $40,000.*

Years 2/3: (as applicable)

SUPPLIES:

Year 1:
General Office supplies include the following items: pens, pencils, notebooks, printer paper, ink cartridges, etc. For example:

> *12 months x $100/month x 3 program offices = $3,600*

> *Due to the opening of a new program office to support Sector "X" activities, program supplies include the following items: 2 laptop computers, 3 desktop computers, 2 printers, etc.*

> *2 laptop computers x $700 = $1,400*
> *3 desktop computers x $1,200 = $3,600*
> *2 printers x $400 = $800*

Years 2/3: (as applicable)

CONTRACTUAL:

Year 1:
Detailed budgets should be included for sub-grantees, if known. Identify consultants here, separately, from other permanent staff in the personnel section.

> *ABC Organization will serve as a partner to assist with implementing sector "X" activities. $75,000 detailed budget is attached.*

> *XYZ Organization will provide security services via a contract. $50,000 detailed budget is attached.*

Years 2/3: (as applicable)

CONSTRUCTION:

Year 1:
(Note: Generally, the Bureau limits the use of Federal assistance awards to implement new construction programs and programs involving significant construction activities consistent with Department-wide policy. An applicant may, however, request consideration of minor construction related activities that consist of the renovation or rehabilitation of existing permanent structures with a sufficient description of the activities and/or related statements of work to be performed. The construction, renovation, or rehabilitation of temporary structures should be excluded from this section.)

Detailed budgets should include a description of the activity. For example:

> ***Construction of semi-permanent latrines:*** *This will involve the construction of both a male and female latrine block to provide a clean and safe sanitation space for staff and clients.*
> *$3,169/unit x 100% x 2 units = $3,328*

Construction – Staff accommodation: *This will support the construction of staff accommodation within the refugee settlement. The accommodation will also improve staff wellness and welfare by reducing travel time to and from the town to the settlement each day.*
$80,000/unit x 100% x 1 unit = $80,000

Years 2/3: (as applicable)

OTHER:

Year 1:
The following direct program expenses are related to the implementation of all sector activities and are proportionate based on actual use. For example:

Rent of Office space in three locations - 12 months x 3 offices x $400 = $14,400
Utilities - 12 months x 3 offices x $100 = $3,600
Postage - 12 months x 3 offices x $50 = $1,800
Courier – 25 trips x 2 offices x $25 = $1,250
Communication (phone, fax, internet) = 12 months x 3 offices x $200 = $7,200
Transportation cost of medical supplies via ground freight =
2 trips x $3,000 = $6,000

Years 2/3: (as applicable)

INDIRECT COSTS:

Year 1:
Show the amount of indirect costs and the base amount on which it is determined. A copy of the most current Negotiated Indirect Cost Rate Agreement must be submitted for recipient and sub-recipient(s), if applicable. In accordance with new guidance from the United States Office of Management and Budget (OMB), applicants with no NICRA may elect to charge a de minimis rate of 10% of Modified Total Direct Costs (MTDC) which may be used indefinitely (2 CFR 200, Subpart E, Section 414 Indirect (F&A) Costs). A de minimis rate calculation must be provided if the applicant elects to charge the de minimis rate. Any rate below 10% is acceptable if voluntarily offered by the applicant.

Years 2/3: (as applicable)

APPENDIX F
RISK ANALYSIS TEMPLATE

The purpose of the risk analysis is to identify the internal and external risks associated with the proposed program in the application, assess the likelihood of the risks, assess the potential impact of the risks on the program, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document. PRM defers to organizations to conduct adequate risk analysis and remediation and advises that risk analysis and remediation occur throughout the life of a program, incorporating revisions to risk analysis documents and processes as necessary. The safety and security of recipients and beneficiaries are of utmost importance. PRM requires all recipients to conduct thorough risk assessments and take all actions necessary in accordance with those assessments to mitigate those risks. PRM does not take responsibility for the risks incurred by any recipient.

The annex should assess the risk for fraud, waste, and abuse associated with the proposed program and describe risk mitigation strategies (including for any sub-awards) to include conflict of interest policy, whistleblower procedures, ethics training, cyber/digital security and data protection procedures, including how organizations protect beneficiaries' personal data broadly and in the given local context, banking protocols, procurement and logistics policies, and human resources policies.

The risk analysis annex should also describe and include any additional risk mitigation procedures including:

- Reviews of publicly available information regarding the behavior of sanctioned groups and individuals;
- Sanctioned group movements, to include maps;
- Searches of public databases, including SAM.gov, the Department of the Treasury's Office of Foreign Assets Control's (OFAC) Specially Designated National List, UN Security Council Sanctions List, the Department of State's Designated Foreign Terrorist Organizations (FTO) list, etc.
- Third-party assessments of risk mitigation policies and procedures.

Risk Analysis – Format Example:
A suggested format for a risk analysis document is below. Applicants should include all assumptions and external factors identified in the logic model in the risk analysis. Under "Description of Risk," the risk analysis must address any risk of fraud and corruption, as well as assess the level of risk that the proposed program may inadvertently benefit terrorists or their supporters. Under "Likelihood of Risk" and "Potential Impact of Risk," applicants must rate them as "High," "Medium," or "Low."

Risk Category	Description of Risk	Likelihood of Risk	Potential Impact of Risk	Risk Mitigation Plans/Actions
Risks affecting safety and security of personnel and beneficiaries.	(This category includes threats from crime and violence as well as illness, injury, or death resulting from disease or environmental conditions.)	HIGH	LOW	
	example	MEDIUM	HIGH	
	example	LOW	HIGH	
Risks affecting the achievement of program objectives or outcomes.	(Risks that undermine the effectiveness of the program. May also include risks that threaten the organization's			

	credibility with U.S. or host governments, beneficiaries, or other stakeholders.)			
Fiduciary and legal risks.	(These include – but are not limited to - compliance with U.S. law and regulation, including sanctions and counterterrorism statutes.)			
Information technology risks.	(May include compromise of institutional, partner, or beneficiary data.)			

Risk Analysis in Areas Where Sanctioned Groups/Individuals are Present:

PRM recognizes that programs operating in certain environments provide an increased risk of fraud, waste, abuse and diversion including from the presence of groups and individuals sanctioned by the U.S. government (USG) under Material Support statutes and/or sanctions programs administered by the U.S. Department of Treasury Office of Foreign Assets Control (OFAC). Applicants should provide additional information regarding safeguards and risk mitigation strategies where these conditions exist. The annex should include details on the applicable prevention measures including:

- An analysis of the operating environment in the area(s) in which the organization proposes to work, including identification of sanctioned groups and individuals that have a presence in or maintain control over such areas and how those groups and individuals operate vis-à-vis humanitarian partners and programming;
- An explanation of the safeguards the applicant intends to put in place to prevent interference or influence by, transactions with, or provision of benefits to groups and individuals sanctioned by the USG during all phases of program implementation, including but not limited to the following:
  - How the applicant will prevent direct or indirect benefits to sanctioned groups and individuals through commercial activities that result in the payment of taxes, fees, tolls, etc., to a sanctioned group or individual;
  - Risk mitigation plans for moving equipment or supplies into proposed areas, including whether a sanctioned group could potentially benefit from fees or taxes paid during any stage of program implementation or could seek to divert equipment or supplies;
  - Measures to mitigate the risk that a sanctioned group would receive reputational benefit from the proposed program, such as a sanctioned group claiming credit for the assistance or services provided;
  - How the applicant will respond to attempts by sanctioned groups and individuals to interfere with or influence the way the applicant carries out program activities. The applicant should clearly articulate triggers for action and specify organizational processes for decision-making;
  - How beneficiary targeting and registration ensures that program beneficiaries are not sanctioned group members or affiliates;
  - How the applicant will verify that assistance reaches the intended beneficiaries;
  - How the applicant ensures that program assistance is not diverted from intended beneficiaries following distribution or service;
  - The controls and systems the organization has to ensure that procurement and hiring do not benefit sanctioned groups and individuals;
  - Any additional internal controls and oversight mechanisms the organization will put in place.

Links
General Services Administration's System for Award Management (SAM)
https://sam.gov /

U.S. Department of the Treasury OFAC Resources
https://www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx#fragment-5

UN Security Council Sanctions List
https://www.un.org/securitycouncil/content/un-sc-consolidated-list

U.S. Department of State Foreign Terrorist Organizations (FTO) Designations
https://www.state.gov/foreign-terrorist-organizations/

APPENDIX G
PROPOSAL AND CONCEPT NOTE SCORECARD EXAMPLES

A.H.1 Overseas Assistance NOFO Proposal Scorecard Example:

(Note: The number sequence below corresponds to designated sections of the Proposal Narrative template. Numbers in parentheses correspond to the maximum number of points per criteria.)

Criteria	Score
2. Gap/Analysis (5 points)	
3. Profile of Target Population (5)	
4. Program Description /4a. Protection Mainstreaming / 4b. Gender Analysis (20)	
5. Objectives & Indicators (10)	
6. Monitoring & Evaluation Plan (10)	
7. Accountability to Affected Populations (5)	
8. Coordination (5)	
9. Sustainability and Capacity-Building (5)	
10. Management and Past Performance (10)	
11. Risk Management (10)	
12. Budget/Budget Narrative (15)	
Total Score (out of 100)	

A.H.2. Overseas Assistance Concept Note Proposal Scorecard Example:

Evaluation Criteria	Score
Quality of program idea (10)	
Appropriate identification of beneficiary population, including vulnerable populations (10)	
Program feasibility/ability to achieve objectives (10)	
Organization's experience and capacity (10)	
Cost effectiveness (10)	
Total Score (out of 50)	

In addition, each proposal may be rated High, Medium, or Low to reflect whether the program corresponds to critical gap needs and PRM Bureau priorities as outlined in the relevant NOFO.

APPENDIX H
FORM 424 INSTRUCTIONS

Please refer to the following guidelines as you fill out the SF-424 form (available on Grants.gov). Complete all fields except where noted as "Leave Blank" below.

1. Type of Submission: **Application**.

2. Type of Application: **New**.

3. Date Received: **Leave blank. This will be assigned automatically.**

4. Applicant Identifier: **Leave blank.**

5a. Federal Entity Identifier: **Leave blank.**

5b. Federal Award Identifier: **Leave blank.**

6. Date Received by State: **Use the calendar drop-down icon to select the date the application will be submitted (YYYY/MM/DD). This would be the date you are submitting the application.**

7. State Application Identified: **Leave blank. This will be assigned automatically.**

8a. Enter the legal name of the applicant organization. **Do NOT list abbreviations or acronyms unless they are part of the organization's legal name.**

8b. Employer/Taxpayer ID Number: **Non-U.S. organizations that do not have an IRS EIN enter 44-4444444.**

8c. **Enter organizational Unique Entity Identifier number (UEI) or DUNS Number.**

8d. **Enter the headquarters address of the applicant**.

8e. **Enter the name of the primary organizational unit (and department or division) that will undertake the assistance activity as applicable.**

8f. **Enter the name, title, and all contact information of the person to be contacted on matters involving this application. Please note this is the only person to receive updates on the submitted application.**

9. Select an applicant type: **Select the type of organization applying.**

10. Enter: **Bureau of Population, Refugees, and Migration.**

11. Enter: **19 (use applicable selection found in NOFO).**

12. **Enter the Funding Opportunity Number and title. This title and number will already be entered on electronic applications.**

13. **Enter the Competition Identification Number and title. This number will already be entered on electronic applications.**

14. Areas Affected by Program: **Enter country or region intended for program. Multiple countries may be entered for regional programs.**

15. **Enter the descriptive title of applicant's program. Note, there is a character limit including spaces.**

16a. Congressional districts of Applicant: **Applicants based in the U.S. should enter congressional district. Applicants not based in the U.S. should enter "90."**

16b. **All applicants should enter "70."**

17a. **Enter programed start date. Refer to the funding opportunity for guidance on programed start dates.**

17b. **Enter programed end date. Refer to the funding opportunity for guidance on programed end dates.**

18a. **Enter the amount requested for the program described in the full proposal under "Federal";**

18b. **Enter any cost-share under "Applicant." If not proposing cost-share, enter zeros.**

18c-f. **Please enter zeros.**

18g. The total should automatically populate.

19. Select **"c. Program is not covered by E.O 12372."**

20. **Select the appropriate box. If the answer is "yes" to this question, provide an explanation.**

21. **Enter the name, title, and all contact information of the individual authorized to sign for the application on behalf of the applicant organization. Sign and date.**

<u>APPENDIX I</u>
FORM 424A INSTRUCTIONS

SF-424A Budget Information – Non-Construction Programs:

Please review the detailed instructions below <u>BEFORE</u> completing this form online.

Note: The person who signs the SF-424A must have legal authority to do so on behalf of the organization.

Section A - Budget Summary (Note : For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the **first funding period (usually a year)**. For continuing program applications, submit these forms before the end of each funding period as required by the grants officer.)**:**

   a) Grant Program Function or Activity: **If not pre-populated, enter Population, Refugees, and Migration.** Click Save. Then click on the hyperlink under either "Grant Program Function or Activity" or the blue (i).
   b) Catalog of Federal Domestic Assistance Number: **If not pre-populated, enter 19.345**.
   c) Federal (Unobligated): **Leave these fields blank.**
   d) Non-Federal (Unobligated): **Leave these fields blank.**
   e) Federal (New/Revised): **Enter the amount of federal funds requested for this program.**
   f) Non-Federal (New/Revised): **If voluntary cost-share is applicable, enter the amount of any other funds the applicant will use towards this program**.
   g) Total: **If not pre-populated, enter the total cost of this program**.

Click Save

Section B - Budget Categories:
   * 6. Object Class Categories a-k: **Under the first column "Object Class Categories" click on each of the hyperlinked cost categories to enter the total cost for each class category for 'Program (1)'. In the total column, to the far right, the form should automatically show the sum. Columns indicated for Program 2, 3, and 4 should be left blank.**
   * Program Income: **Enter 0.**

Click Save

Section C - Non-Federal Resources: *(Only complete this section if the proposal includes voluntary cost-share)*
   * Click the title under the Grant Program
   * (a) Grant Program**: If not pre-populated, enter Population, Refugees, and Migration.**
   * (b) Applicant Column: **If applicable, enter cost-share amount provided by the applicant.**
   * (c) State Column: **Leave blank.**
   * (d) Other Sources Column: **If applicable, enter the cost-share amount provided by other donors.**
   * (e) Total Column: **In the total column, to the far right, the form should automatically show the sum for total amount for all non-federal resources.**

Section D - Forecasted Cash Needs:
   * Forecasted Cash needs are the funds award recipients will withdraw from the Payment Management System (PMS) on an as needed basis. **Applicants may list their forecasted cash needs by year or leave it blank. *(Forecasted cash needs by quarter are not required, only the total sum is necessary)***
   * (13.) Federal Row: **Click on "Federal". Enter the total amount of federal funds requested for the program in the total column.**
   * (14.) Non-Federal Row: **Click on "Non-Federal". Enter the total amount of non-federal funds, also known as cost-share, you expect to expend during the program in the total column.**

Section E - Budget Estimates of Federal Funds Needed for Balance of the Program and/or Projects:

- (a) Grant Program enter: **Click the title entered. If not pre-populated, enter Population, Refugees, and Migration.**
- (b-e) First Year – Fourth Year Columns: **Complete the estimated amounts for each year**

Click Save & Return

Disclaimer: External websites linked in this document may not be supported or accessible by all web browsers. If you are unable to link to a referenced website, please try using a different browser or update to a more recent one. If you continue to experience difficulties to reach external resources, please contact the PRM NGO Coordinator.