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**Office of U.S. Foreign Disaster Assistance
PVO Conference**

Linking Relief and Development: Putting It Into Practice

Conference Proceedings

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EXECUTIVE SUMMARY

The U.S. Agency for International Development, Bureau for Humanitarian Response, Office of Foreign Disaster Assistance (USAID/BHR/OFDA) 18th Biennial Private Voluntary Organization (PVO) Conference was entitled *"Linking Relief and Development: Putting It Into Practice."* This theme was chosen to reflect two key issues currently shaping and challenging the humanitarian assistance community. The first element underscored was that linking relief and development is a two-way process: it is not solely a matter of linking relief to development; it is also a matter of linking development to relief. As stated by keynote speaker Mary Anderson, "the design and implementation of development assistance programs directly impact whether or not disasters will become humanitarian emergencies, and therefore, whether or not people will need further disaster relief aid. Likewise, the way in which emergency relief assistance is provided will positively or negatively affect possibilities for development." The phrase "linking relief and development" was selected to emphasize their interrelatedness.

The second key issue highlighted by this title was the prevailing need to shift from understanding the concepts of linking relief and development to applying these concepts at the strategic, operational, and tactical levels. To address questions such as, "Can these ideas be woven into programs from the onset?" and "Can they work in a real-world context, usually in contention with factors such as speed and timing?" would be to utilize these theories as practical tools.

Although awareness of the relationship between relief and development has yet to be fully translated into effective program design, examples of attempts do exist. This conference showcased some such efforts, including the Integrated Strategic Planning (ISP) process taking place in several Greater Horn countries, the Africa Liaison Project, and InterAction's emergency health training curriculum for PVOs. These and other bridges have begun to augment the dialogue between relief agencies and development organizations, stimulating further innovations for "putting it into practice."

While these and other trail-blazing works are underway, numerous questions remain to be answered. To tackle some of them during day one of this two-day conference, participants worked in small groups to generate recommendations regarding:

- 1) What are the key questions that need to be answered to determine if a program has effectively linked relief and development?;
- 2) What criteria should be used to identify transition countries?;

- 3) How can programs promote prevention, mitigation and preparedness (PMP) in complex emergencies?;
- 4) How can we improve collaboration between international and indigenous Non-Governmental Organizations (NGOs)?;
- 5) How can community capacities be integrated into relief planning?; and
- 6) What types of training programs are necessary in order to facilitate the implementation of linked relief to development efforts?

These six have been among many considerations as USAID offices have striven to retool their thinking in the context of strategic planning. They are questions that have been raised in the drafting and redrafting of office proposal guidelines, including USAID/OFDA's New Grants and Grant Revisions proposal guidelines, which were presented at the conference. They have also been instrumental in the establishment of strategic plans which are now required for USAID offices. They are queries pondered as USAID's Office of Procurement attempts to simplify assistance mechanisms. Although there are no easy answers, USAID intends to continue working together with the PVO community to find workable solutions.

As USAID struggles with these changes, the PVO community faces additional challenges as well, from various sources. The issue of safety, in particular, has forced PVOs to realize that they are not always perceived to be impartial and neutral humanitarians, and thus beyond harm. Increasingly, PVOs are dealing with both direct and indirect violence, which has weighty implications for the success of their programs and the well-being of their personnel. To address this difficult topic, a special section of the 1996 PVO conference was devoted to "Protecting Our Primary Resource: The Aid Worker." The lessons learned here applied not only to PVOs, but to all humanitarian assistance providers, including USAID employees.

While the 18th Biennial PVO Conference raised even more questions about relief and development, it served to bring together individuals representing both "camps." It also showed that, given the overarching goal of helping others, relief organizations and development organizations can work together to find common ground.

OPENING COMMENTS

Presenter: J. Brian Atwood, USAID Administrator

Mr. Atwood opened the conference by stating that it was an important time to meet with the PVOs/NGOs to discuss the links between relief and development. He stated that the humanitarian relief to sustained development continuum cannot be discussed without considering the issues of security, capacity-building, diplomacy, international refugee law, and new assistance initiatives being created with PVO/NGO input. In our increasingly more complicated world, the international community's ability to respond quickly to complex emergencies is constantly being tested. For example, numerous plans for intervention in eastern Zaire and Rwanda have been proposed in a situation fraught with ethical dilemmas.

In citing USAID's program in northern Iraq, Mr. Atwood reported that the situation had changed dramatically since the recent incursion of Saddam Hussein's forces into the Kurdish areas. There was an understanding with the PVO/NGO community that a safe-haven had been established in northern Iraq protected by U.S. military forces. The understanding, however, was overtaken by events requiring diplomatic efforts to arrange a cease-fire before evacuating PVO and Kurdish nationals working for USAID and the international relief community. Oftentimes, events on the ground could have been predicted if an appropriate analysis of conditions had been conducted in advance. Issues of international refugee law and a quick response by the international community needed to be discussed as the situation became more complicated and overtaken by events.

USAID is also examining critical issues to support displaced persons in southern Sudan. Mr. Atwood posed the questions to the audience: To what extent is international assistance in southern Sudan linking relief to development? How much capacity-building is the relief community doing in southern Sudan? Is provoking the government's antagonism a side-effect? Creativity is needed to conceptualize more effective mitigation, relief, and development initiatives.

Even though there is no peace in Liberia, the U.S. Government spends \$72 million annually on relief assistance. Mr. Atwood argued that stabilization of the rural areas outside Monrovia is the most important factor in bringing about peace and security, however, peacekeeping money is being squeezed. Humanitarian efforts in Liberia need the protection of these forces to create safe havens as in Burundi. Once the safe havens are created, they can be expanded and, in effect, can relate relief efforts to capacity building along the relief to development continuum.

In Bosnia, there was the facade of collaboration among ethnic groups. USAID's goal remained to work collaboratively despite having to make compromises in order to support resettlement. Mr. Atwood believed that this model was successful and could be transferred to other relief situations if one were to think creatively.

According to the Administrator, if there was no USAID relief to development continuum working in the Greater Horn, further instability would have occurred. Because of USAID initiatives, the region has increased its agricultural production, liberalized trade practices, revitalized local capacities, and increased links to communications and early warning systems.

Mr. Atwood pointed out that as the world enters the 21st Century, a new era of international cooperation must be created. This era of cooperation will require a reformed United Nations that can move quickly and significantly when future disaster responses are necessary. The next administration will need to present this strategic vision of the relief to development continuum to the world. USAID will continue its international leadership role in fostering cooperation. In concluding his remarks, Mr. Atwood challenged conference participants to be creative and look 20 years ahead to provide him with ideas on how to make the continuum more effective in the future.

KEYNOTE ADDRESS: LINKING RELIEF TO DEVELOPMENT

Presenter: Mary Anderson, President, The Collaborative for Development Action

Ms. Anderson directed her address toward short and long-term effects of emergency assistance on its recipients. Her comments were not based on theory or idealism but rather on field experience. The field experience provided Ms. Anderson with: 1) empirical evidence; 2) lessons learned about the relief to development linkage; 3) information on the impact of situational conflict on this linkage; and 4) case studies.

The objectives of relief work are to save lives and alleviate human suffering. However, the "customers" of relief work, i.e. internally displaced persons and refugees, state that there are really two disasters occurring simultaneously. The first disaster is the cyclone, earthquake, or civil strife that causes the need for an emergency relief response. The second disaster is the way relief or development assistance often undermines local capacity, creates dependency on external support, and creates significant challenges for PVO/NGO staffs not to do harm while doing good. Disputes continue about what to do about the assistance situation and how to rectify inequities.

Relief and development are linked whether one knows it or not. Vulnerability to disaster is heightened by poverty, political insecurity, and marginalization -- all issues addressed through development. People receiving relief or development assistance know that the assistance does not do enough to reduce their vulnerability to either short or long-term poverty.

Most important for relief workers, however, is the fact that the design and implementation of development assistance programs directly affect the likelihood that disasters will -- or will not -- occur so that people will need further emergency assistance. In addition, the way in which emergency relief assistance is provided will also positively or negatively affect the possibilities for development.

According to Ms. Anderson, an awareness of the relationship between relief and development has not been adequately translated into effective program designs. These designs need to ensure that assistance initiatives save lives in crises and promote sustainable long-term development in ways that lessen, rather than increase, the vulnerability to future disasters. For aid workers to promote the transition from relief to development, four steps are required. These steps are:

- 1) Clarifying and understanding fully the relationship between relief assistance and development and development assistance and vulnerability to disaster.
- 2) Learning to identify local capacities (resources and attributes that enable groups to function effectively) on which development can be built even during a

crisis. Relief or development assistance often underplays the importance of social, organizational, and attitudinal capacities. When aid providers concentrate on needs, they often overlook local capacities. An early case study illustrating the importance of local capacities comes from a Mexico City barrio after the 1987 earthquake. Even though there were physical requirements that needed to be addressed, the barrio had an existing organizational structure and attitude which enabled it to respond to its own emergency through cooperation. Assistance should focus on more than physical recovery because those with physical needs addressed are still vulnerable to recent shifts in capacities between and among affected groups.

3) Learning to identify and analyze vulnerabilities (circumstances and conditions outside one's direct control that puts one, and one's ability to function, at risk) that underlie disasters. All assistance should involve careful analysis of existing and potential vulnerabilities. Ms. Anderson has found that the most successful relief assistance does not attempt to return an affected area to its original state. Rather, the objective of the assistance is to return the area to a less vulnerable state.

4) Learning from past field case studies. Ms. Anderson stressed that it is necessary to apply long-term accountability criteria to both relief and development assistance. It is also necessary to take account of the context of aid and to consider how context will shape (or misshape) aid's outcomes. In particular, when aid is provided in a context of conflict, it is possible that aid's support of existing local leadership capacity may, in fact, enable oppressive leaders to maintain control over a population, and thus, reinforce that populations' vulnerability to political dominance and impoverishment.

In conflict settings, aid may have other negative impacts. For example, aid that supports "empowerment" of previously excluded groups may, at the same time, increase tensions between groups and actually heighten vulnerabilities of weaker groups. Aid may provide resources that can be misused in a conflict to reinforce the power of one group over others. Aid, in some cases, causes its recipients to become targets of attacks by others. The context of conflict, where assistance is often provided today, alters the immediate and long-term impacts of aid. Providers of assistance must become more conscious of the ways in which well-intended aid can have harmful impacts on those it was designed to help, and ways must be found to avoid the negative impacts of aid without compromising the commitment to justice and development.

On the positive side, according to Ms. Anderson, there are always local capacities for peace within every war situation. Too often, because aid workers arrive in conflict zones to provide aid to people suffering from the war, they overlook these capacities for peace. Rather, they direct their aid toward the aspects of the

society that reinforce tensions and divisions. Experience in war zones shows that, even in the midst of the most violent fighting among groups, they remain connected through various "linking systems" such as markets or infrastructure, communications systems or, as occurred in Bosnia-Herzegovina, even e-mail!

Ms. Anderson provided two case studies to illustrate the relationships between relief and development and conflict.

a) During the Ethiopia famine, people left their homes and gathered along the sides of roads seeking food assistance. Some agencies set up feeding centers where they provided prepared food for the most needy. This approach to famine relief has negative impacts on development. Though lives are saved, people are also maintained in a setting that is separate from their land, families, and homes; they become depressed and passive. Disease is difficult to control. Another agency also provided famine relief in Ethiopia but did so by urging people to return to their villages. Agency representatives guaranteed that they would deliver food "as close as possible" to where people lived (rather than in feeding centers). As a result, villages organized work brigades to build roads that reached into remote areas to enable food deliveries to reach everyone. This relief agency's approach to providing assistance enabled the people to stay on their own land and maintain their social and psychological capacities. When the rains came, these villagers were ready to plant and their dependency on outside assistance ended.

b) In Tajikistan, after the civil war, there was a need for housing and food when people began returning to their homes. An agency initiated a house rebuilding project using food-for-work. However, because the program was designed to rely on village-based building brigades (and the villages in southern Tajikistan were, largely, mono-ethnic villages), this meant that most of the food-for-work assistance was provided to one ethnic group -- that is, the group which suffered the greatest destruction of its houses. The "winners" of the civil war, those who had not suffered as much loss, were unhappy when they observed that aid was being given to their "enemies" to rebuild. The agency responded by initiating other food-for-work programs focused on rebuilding commonly-held assets such as roadways, irrigation ditches, and clinics.

In summary, Ms. Anderson reiterated that assistance providers need to think about how their money, time, and staff can be used to reinforce the positive relief to development linkages while downplaying the negative impacts. There are so many options as to how to meet needs. Some options leave beneficiaries stronger, more independent, and less vulnerable while other options leave those assisted dependent, depressed, and weaker. It remains a great challenge to transform the impact of assistance, but the relief and development communities have the knowledge, ability, and lessons to make the necessary modifications.

OPERATIONAL IMPLICATIONS FOR LINKING RELIEF AND DEVELOPMENT

Moderator: Mary Anderson, President, The Collaborative for Development Action

Panelists: Richard Owens, USAID/OFDA/DRD; Gerald Martone, International Rescue Committee; and Susan Lautze, Consultant

Mr. Owens opened the panel discussion by relating his personal experiences as a USAID official responding to Central American and Caribbean disasters during the past 13 years. He gave two examples from the 1980's to illustrate that the relief to development continuum has proved real and manageable under pressure in the field.

In Honduras, he explained, the border conflict zone was rebuilt through a partnership among local communities, PVOs/NGOs, and the U.S. military. The project was completed more quickly than USAID could have done alone, and by considering the required rehabilitation needs on the ground, a practical assistance response was developed and implemented. Mr. Owens also recalled working in Jamaica in 1988 when Hurricane Gilbert struck. Beyond the need for an immediate disaster response was the need to promote a long-term, sustainable development phase that would support economic recovery. The U.S. government provided \$60 million in assistance, used to implement a three-month quick response program succeeded by an eighteen-month development strategy.

He emphasized that to build more effective programs, to have smoother transitions, and to leave usable capacities, assessments should be done early with a holistic approach. Despite the pressures to respond immediately, such as time and politics, it is important to convince decisionmakers that utilizing assessments, local capacities, minimum inputs for maximum outputs, and close monitoring will pay off.

Mr. Owens also stated that development work can be done to increase local response and relief capabilities; the noteworthy programs in Latin America and the Caribbean could be used as models. He encouraged proactive approaches by PVOs/NGOs and BHR/OFDA to collaborate on grants that foster long-term, sustainable linkages with indigenous partners such as NGOs, civic groups, and national governments.

While underscoring several of Mr. Owens' points, Mr. Martone also discussed some constraints facing the linkage of relief to development. He pointed out that a critical window of opportunity exists to provide timely relief assistance. For example, he cited a 30% higher disease and death rate among those in transit, such as refugees, in comparison to the reference population. Due to the mind-set that there is not enough time, the negative impacts of emergency responses tend to be overlooked and development issues often are not considered.

Another constraining issue is resources, both in terms of staff and assets. The relief community, he said, is known by many as young, unprofessional, and untrained, without industry standards or qualifications. In its responses, the community's tendency to import enormous material assets becomes a disincentive for local capacities and entrepreneurs, distorts the local economy, and causes delays and additional costs in the long-term. Worst yet, in Liberia, PVOs/NGOs realized their imported assets were fostering the war effort.

Mr. Martone recommended that it is essential to identify local capacities. For example, to apply local capacity-building to health clinics, resources including the buildings, distribution systems, staff knowledge, and existing supplies should be assessed before any goods are imported. Although the disaster response community often claims there is no time to speak at length with local people, he said time does exist to evaluate the affected population. Relief workers should learn lessons from the development world, he asserted, such as building relationships with indigenous PVOs.

Ms. Lautze addressed the issue of speed and timing of assistance by stating that past experiences show that strategic, "linked" interventions take more time to implement, and therefore give the impression of slowing down the relief process. Based on her field experience, Ms. Lautze asked questions about the delays in providing a timely relief response: "What are the consequences, in terms of OFDA's overriding mandate to save lives and alleviate human suffering, of these delays?"; "How much of the slowness of this process is due to the fact that we simply are not experienced in doing strategic interventions in disaster settings?"; and "If PVOs/NGOs have a short turnaround period between when their grants are approved and implemented, is it reasonable to expect, for example, that seeds purchased and distributed will also be improved varieties?"

Ms. Lautze noted, however, that the issue of speed and timing in providing assistance is much broader. She posed additional questions to conference participants on the process of learning how to do strategic interventions: "How long will the process of learning how to build capacity, how to protect livelihoods, and how not to create dependency take?"; and "Where is the relief community in this process of learning?" Ms. Lautze remarked that she has seen good progress along this learning path at OFDA with staff working to pull together case studies, OFDA's funding priorities, the seriousness with which strategy papers are being considered, and the focus of this conference. She suggested that PVOs/NGOs begin to incorporate into grants specific activities which rationalize the links between disaster recovery and some semblance of stability, rather than doing this through discrete projects.

Ms. Lautze also stressed the importance of collaboration. This takes trust, understanding, and time, and needs to be done on a regional basis before a

disaster strikes. Commenting that there are links from development to relief as well as from relief to development, she encouraged further consideration of how to create partnerships to do development with a focus on responding to relief needs.

REVIEW OF THE GREATER HORN OF AFRICA INITIATIVE

Presenter: Pat Rader, Deputy Director, USAID's Office of East Africa

The Greater Horn of Africa Initiative (GHAI) was started by USAID in November 1994, and includes the countries of Djibouti, Eritrea, Ethiopia, Somalia, Kenya, Sudan, as well as the Great Lakes countries of Uganda, Rwanda, Burundi, and Tanzania. Many of the challenges are the same in both regions (refugees, political stability, and the relief to development continuum) but GHAI is focusing on the Northern Horn region because of a greater chance of potential breakthroughs in program objectives. The objectives of the GHAI are to:

- 1) increase food security -- improve the ability of Africans to attain sustainable food levels; and
- 2) improve the ability of Africans to prevent conflict -- conflict not weather is the greatest food inhibitor.

Ms. Rader also stated that the GHAI has six guiding implementation principles:

- 1) do business differently;
- 2) ensure African ownership and consultation;
- 3) promote strategic coordination between the ten member countries;
- 4) assume a regional approach as all the countries have small economies;
- 5) link relief and development even though some of the governments are not open to PVO/NGO activities; and
- 6) assume that instability is the norm when planning or implementing assistance.

Between \$500-600 million of assistance is being provided to the region annually, two-thirds of this total being funded by USAID/OFDA, USAID/Food for Peace (FFP), and State/Population, Refugees, and Migration (PRM).

She posed the question, "How does USAID work with PVOs/NGOs as implementors having an impact in the region?" One solution may be to form joint assessment teams comprised of local government representatives, U.S. government (USG) officials, and PVO/NGO personnel involved in the region. Cooperation between organizations remains an issue that still needs to be addressed before these types of assessments may occur.

On issues affecting the relief to development continuum in the Greater Horn, efforts within the USG are underway to encourage Africans to broaden their response approaches. Local governments and organizations need to be made aware that there are international resources that could be brought to bear on their behalf. Some governments in the Greater Horn region are beginning to change their views on accessing these resources, which has resulted in some Horn countries increasing their development opportunities.

Ms. Rader suggested that PVOs/NGOs and government officials in the region meet and discuss their common interests in promoting projects and programs. In the case of Somalia, which exists without a central government, instability continues to disrupt regional trade and coordination. Governments in the Greater Horn are attempting to bring a solution to Somalia's internal problems, which would make for a stronger regional organization.

The Inter-Governmental Authority on Development (IGAD), a regional development organization headquartered in Djibouti, is currently in the process of restructuring and still needs to prove its viability, especially in country-specific and regional trade and agricultural issues.

In fiscal year 1997, \$15 million is being provided to the region through the GHAI. The most positive results are occurring in the northern region of the Horn, but more local resources are still required for improvement in the overall situation. Any of the countries in the region can become unstable at any time. Thus, as Ms. Rader pointed out, the GHAI is attempting to "build the bridge" within the Greater Horn from both sides. The U.S. Government is trying to ease conflict in the region by working through the prevailing African governments, however, the indigenous populations will have to decide on their own conflict resolutions.

RECOMMENDATIONS FOR IMPLEMENTING RELIEF AND DEVELOPMENT Small Group Work Session

Conference participants were asked to break into small groups to discuss and formulate recommendations on how to implement the relief to development continuum. Six issues were addressed:

- 1) What are the key questions that need to be answered to determine if a program has effectively linked relief and development?;
- 2) What criteria should be used to identify transition countries?;
- 3) How can programs promote prevention, mitigation and preparedness (PMP) in complex emergencies?;
- 4) How can we improve collaboration between international and indigenous NGOs?;
- 5) How can community capacities be integrated into relief planning?; and
- 6) What types of training programs are necessary in order to facilitate the implementation of linked relief to development efforts?

Each small group reported its findings to the full conference; following are summaries of their presentations.

Group 1 What are the key questions that need to be answered to determine if a program has effectively linked relief and development?

Two groups addressed this topic. The first group presented seven key questions for consideration in evaluating whether a program has successfully linked relief and development:

- 1) Was there an assessment of existing capacities, including political, social structures, other donor programs and commercial capacities? Did the project identify underlying causes and implement programs to address these causes?
- 2) To what degree was there local participation in the assessment?
- 3) To what degree did the project incorporate and build on existing capacities, such as local government and social/family capacities?
- 4) Did the project monitor and respond to changes in local conditions? Did local people participate in monitoring?
- 5) Has the project put in place mechanisms to reduce the impact of future disasters?

- 6) To what degree was the project implemented by or through local organizations?
- 7) To what degree will the people continue to require outside resources?

The second group focused its inquiry on how to determine whether a proposal, rather than a program, has effectively connected relief to development. The group identified numerous key questions under five subject headings:

1) Why?

Why did the disaster happen? What are the changing events that affect the response? Where did PVOs/NGOs come from in this situation, and where are PVOs/NGOs going? Should the vulnerability and capacities framework be applied at all levels?

2) Government/Political Factions

Are there still governmental systems in place? What are the capacities and vulnerabilities of the government?

3) Community

What is the organization still in place? Are there local resources with which to respond to the disaster? What are the capacities and vulnerabilities of the community, including social and cultural?

4) NGOs

What are the abilities of local NGO staff, including the physical, social, and motivational? What local resources are available? With whom will local NGOs coordinate and collaborate? What are the capacities and vulnerabilities of the NGOs? Are there other players or existing structures?

5) How?

How will the response affect vulnerabilities and capacities in the short term and long run? How does this fit with strategic objectives? How will the response be coordinated among donors, NGOs, and local partners? Are methods of distribution participatory, development-focused and sustainable? How does the response protect livelihoods and decrease vulnerabilities?

Group 2 What criteria should be used to identify transition countries?

The group defined "transition countries" as "countries with apparent potential for transition to sustainable development." Often, the group explained, a crisis of governance and economy leads to the emergence of prospects for self-sustainable development.

The group stated two aspects regarding the purpose of defining criteria to identify transition countries: as a means for determining how to prevent PVOs, NGOs, International organizations (IOs) and outside organizations from getting involved in an impending disaster; and as a means for determining how to invest resources three to five years ahead of time to avert future disasters, focusing aid where it could have the greatest positive impact on self-sustainability.

Indicators of transition countries could include:

- 1) A half-peace, half-war situation.
- 2) Evidence of at least a modicum of governance and stability.
- 3) End of violent conflict, i.e., cease-fire or stalemate.
- 4) Economic distress.
- 5) Population movements or dislocations.
- 6) Loss of state credibility.
- 7) Groups favored or targeted for reprisals.
- 8) Loss of public sector services.
- 9) External (diplomatic) intervention.
- 10) Control of arms flow.

While recognizing risks in identified countries, the transition provides a realistic prospect for change. The criteria would thus be a tool for decision makers. The group noted cases of successful transitions in Uganda, perhaps Mozambique and Sierra Leone; Liberia and Afghanistan were cited as bad examples.

Group 3 How can programs promote prevention, mitigation and preparedness (PMP) in complex emergencies?

The group defined the following terms:

Mitigation - reduce disaster impact; composed of prevention and preparedness.

Prevention - of hazard event or of impact - reduced risk, generally by reducing vulnerability.

Preparedness - timely, effective relief; fast transition to development; future disaster prevention.

Complex emergency - politically-based emergency with major humanitarian consequences.

The group then cited considerations and tools to use before or during complex emergencies to reduce their long-term negative impacts:

- 1) Infectious diseases: target vulnerable groups with immunization program.
- 2) Consider sociopolitical environment at risk.
- 3) Understand targeted population's livelihoods and needs, rather than imposing or assuming.
- 4) Breakdown of governmental structures and institutions: know and use community systems, associations, training; emphasize security, including economic development and the justice/legal system.
- 5) Resettlement: integration into existing community; know social and religious linkages, facilitate discourse.
- 6) Education: consider mobile education, support informed decision-making.
- 7) Planning: monitoring in relief situation leads to feedback; utilize early warning indicators.
- 8) Communication: consider venue, issues, advocacy, public policy implementation.

There should be a focus on how to get value added from standard relief responses to attain long-term benefits. The group also contemplated how the positive impacts of PMP can be measured, noting that markets are the most useful and appropriate indicators. The group reported that determining which sectors are most amenable to PMP-type activities is less important than determining community needs and linkages among sectors in a regional, country-wide, or global context.

Group 4 How can we improve collaboration between international and indigenous PVOs/NGOs?

This topic generated the most interest among conference participants. The group offered several observations, queries and recommendations:

- 1) There are few studies or formulas on building successful NGO-PVO partnerships. The most notable is a book by InterAction that contains a checklist.
- 2) The U.N. can help facilitate partnerships among international and indigenous PVOs/NGOs.
- 3) This is a relationship between unequal partners: northern PVOs contribute money, southern NGOs contribute people and skills; and the relationship is demand driven rather than supply driven.
- 4) There must be a commitment to the partnership on both sides.
- 5) The ideal is to develop this partnership before the disaster strikes, which takes time and trust.
- 6) Partners must listen to one another, rather than dictating or making assumptions.
- 7) Partnerships change over time; partners should have an explicit understanding of how to manage the relationship.
- 8) Partners should assess dissemination of information: what, where, how much, how to find one other.
- 9) An inventory or catalog of NGOs should be developed, including information on their services and capabilities.
- 10) The accountability issue is complex; is this "partnership"? There is a balance between accountability and empowerment, i.e., audits, funds management and program changes.
- 11) Capacity building is often seen as confined to administration; why are intermediaries needed to increase accountability for PVO funds?
- 12) PVOs should consider umbrella grants and USAID staff constraints.

- 13) There are different rules and abilities to build partnerships depending on whether funding is private or public; with public funds, NGOs lose their identity in multiple levels of management.
- 14) There is no need for international and indigenous PVOs/NGOs to compete with one another; they are not vendors.
- 15) There are political aspects to linking with certain PVOs/NGOs; international and indigenous PVOs/NGOs should get to know each another's agendas.
- 16) There is a need for more advocacy on the part of the PVOs in support of NGOs to other donors and PVOs.
- 17) Training should be provided via institutional development grants to strengthen weak areas and enhance strong areas.

In conclusion, the group used a Somali proverb to express the critical role of NGO-PVO partnerships:

One finger cannot wash the whole face. You need all five.

Group 5 How can community capacities be integrated into relief planning?

The group began by asking how to identify capacities initially, which led to the question, "What are capacities?" The only agreement reached was that capacity is a "murky" concept, but is broader than the obvious infrastructure and includes traditional sources of order, such as civic and religious. Much of defining a capacity is contextual, depending on the cultural, institutional, and physical influences on systems such as delivery, decision making, and power sharing. The concept of capacity also changes markedly depending on the phase of the emergency. Also, capacities can be highly situational: there are differences between capacities in a camp setting, in an affected village, and in vulnerable communities.

Turning to how capacities can be identified, the group recommended capacity assessments. Numerous constraints to these assessments were noted: the PVO "outsider" status; the need to act quickly in emergencies; the long list of needs and capacities often given in response to inquiries, making it difficult to prioritize responses; the use of national staff who are English speakers, giving them undue influence over PVO perceptions of capacities; the difficulty of assessing the capacities of those who are outside obvious power structures, such as women; the rapid growth of local NGOs in some disaster situations; the limited incentives for

international NGOs to be successful at capacity building because they might make their own jobs obsolete; and the unresolved issues surrounding how to effectively build up the capacity of the private sector while remaining accountable.

The group suggested solutions to some of these barriers:

- 1) Talk to local authorities, community elders, women's leaders, and others to improve use of the private sector.
- 2) Live and integrate more within affected communities.
- 3) Increase use of local people in the identification and strengthening of local capacities.
- 4) Consider existing civic structures.
- 5) Conduct participatory rural appraisals.
- 6) Work more effectively with indigenous NGOs.
- 7) Improve coordination with international NGOs who have longer experience with affected populations.
- 8) Encourage donors to improve coordination with other donors, with an explicit commitment to capacity building.
- 9) Be certain to match the capacities to be strengthened with the identified needs; capacity building interventions must address vulnerabilities.

The group formulated further recommendations to integrate capacities into relief planning:

- 1) Develop better strategies and methods for identifying and building capacity.
- 2) Learn to identify "winners" and "losers" when capacities are strengthened.
- 3) Realize that patience is extremely important in this process.
- 4) Learn lessons from methodologies of capacity assessment used in U.S. domestic disasters.

It appears to be easier, noted the group, to identify and strengthen community capacities that are technical in nature, such as upgrading health workers' skills, than those that are social, political or economic in nature, such as empowering

women's groups. In the former, there are clear winners and less clear losers; in the latter, "losers" have much more at stake.

Group 6 What types of training programs are necessary in order to facilitate the implementation of linked relief to development efforts?

As its framework, the group defined three categories of people to be trained: local and national relief/development professionals; international relief/development professionals; and beneficiaries, or "clients," as a means of capacity building. Resources and programs were recommended for each category as follows.

- 1) Local and national relief/development professionals --
Existing expertise, networks, resources, purposes; local capacities, training orientations.
- 2) International relief/development professionals --
Conferences, workshops; documents, case studies; USAID leadership.
- 3) Clients/beneficiaries/customers --
Factors: time
Opportunities: education, training courses, counseling; training of teachers, health and social workers
Orientation: future economic and social situation, hope.

The group then discussed further considerations, elements and types of training programs necessary to facilitate the implementation of linked relief to development efforts:

- 1) Implement OFDA Prevention, Mitigation and Preparedness training; indigenous institutional training by and of regional professionals.
- 2) Utilize national development specialists trained in relief.
- 3) Build capacity into emergency interventions via sectoral institutions, including governmental and educational.
- 4) Link training and resources, starting with extant capacities and skills.
- 5) Utilize other authorities, for example, traditional and spiritual.
- 6) Gain an awareness of concepts such as local strategies for emergency response via local NGOs.

- 7) Take into account the sustainability of training; do multiple and/or follow-up trainings as needed.
- 8) Make training reciprocal through collaborative activities among local and international workers.
- 9) Encourage an active, problem-solving format with more discussion and less "teaching."
- 10) Employ training as a model of how to link relief and development, i.e., through diversity and dialogue.
- 11) Use joint curricula development, putting participants in context.
- 12) Build in monitoring, evaluation and ongoing development of the training curriculum.
- 13) Take opportunities of "captive" audiences for training while working with groups such as demobilized soldiers and refugees.
- 14) Offer additional training for professionals in new contexts, i.e., trauma counseling training for teachers.
- 15) Break down stereotypical understandings of relief and development among professionals.
- 16) Strive for integrated training processes.

The role of education in linking relief to development, concluded the group, is thinking to and planning the future with hope.

PRESENT EFFORTS LINKING RELIEF AND DEVELOPMENT
Presenters: Evariste Karangwa, InterAction and Jane Swan, InterAction

A. Africa Liaison Project

InterAction's Africa Liaison Project (ALP) is a USAID Africa Bureau-funded grant with a mandate to foster communication, collaboration, and coordination on development issues of common concern among USAID, U.S. PVOs, and African NGOs.

ALP's major objectives are to:

- 1) Serve as a mechanism for information sharing and discussions of ideas and strategies among USAID's Africa Bureau, U.S. PVOs, and African NGOs; and
- 2) Support initiatives by African NGOs in the areas of collaboration and coordination of activities.

In an effort to design mechanisms to provide the PVO/NGO communities with the opportunities to have constructive inputs in the design of USAID initiatives in Africa, ALP's activities have included:

- 1) Organizing regular briefings/meetings of PVOs/NGOs and USAID's Africa Bureau to exchange ideas and information;
- 2) Establishing a meeting between African NGO representatives and USAID Africa Bureau staff; and
- 3) Encouraging PVO/NGO representatives to create contacts with USAID country missions in order to provide input on the design of USAID country strategies.

Mr. Karangwa reported that activities are also being planned to enhance the dialogue, understanding, collaboration, and coordination among USAID and the PVOs/NGOs on development issues of mutual concern. The planned activities include:

- 1) Identifying topics of interest to a number of InterAction members. Once the topics have been identified, meetings/workshops will be organized around them;
- 2) Following up on priority workshop recommendations; and

- 3) Inviting representatives of PVO/NGO networks to participate in InterAction's Annual Forum and make presentations at Forum workshops.

InterAction is also creating a database of reports, topical papers, and issue briefs with a focus on development in Africa. The ALP will also be facilitating South/South partnerships to exchange skills and strengthen partnerships.

Within the framework of its mandate, ALP will continue to facilitate the dialogue between development and relief agencies. Skills and expertise developed by relief agencies can be used by development groups to mitigate the impact of disasters. On the other hand, since man-made emergency situations are getting more and more complex, in terms of response time and coordination, development principles can also be applied in relief and disaster situations. Building partnerships among development and relief agencies may be the best way to link relief and development activities. The challenge is of course how.

ALP has sponsored or cosponsored workshops with the objective of providing a forum for PVOs/NGOs to exchange ideas and information on issues linking relief and development. Workshop topics have included: Linking Relief and Development in the Greater Horn of Africa; Strengthening Civil Society and Democracy in Africa; and Empowering NGOs for Conflict Resolution in Africa.

The ALP, the Disaster Response Committee, and the Committee on Migration and Refugee Affairs at InterAction have identified issues which they will work on jointly. These include: issues related to refugee repatriation and contributing to the rebuilding of their communities; linking relief and development by planning emergency and relief interventions; and documenting and disseminating lessons learned in linking relief to development.

B. Training of PVOs Working in the Health Sector During Complex Emergencies

Health is not just the absence of disease but the physical, mental, and social well-being of an individual. How PVOs/NGOs intervene and how health responses are implemented can support or undermine a patient's hope and recovery. Health workers must be accountable for their expertise and technological inputs; when they deploy to an emergency they must do what they say they will do. Training of health workers will provide a forum to discuss these issues. Through a collaborative effort undertaken by InterAction and OFDA, the relief community is working to develop a training program for PVO health workers responding to complex emergencies based on these principles.

Collaborators in this effort (World Health Organization, UNICEF, Pan American Health Organization, universities, PVOs/NGOs, Centers for Disease Control and Prevention, and others) seek to establish a curriculum for emergency health training

which will address not only technical expertise, but that will incorporate certain criteria that impact on program implementation, and longer-term sustainment. These criteria include: 1) creating equity for men, women, and children in obtaining emergency assistance; 2) focusing on preventative rather than curative medicine; 3) providing appropriate medical technology that is practical and simple to implement; and 4) dealing with cross-cutting issues such as gender violence, women's issues, and mental health. The training program also will incorporate a capacity-building aspect so that students will leave the program with the ability to teach what they have learned and share their expertise.

USAID/OFDA STRATEGIC PLAN REVIEW
Presenter: Polly Byers, USAID/OFDA/PMPP

Ms. Byers stated that the Office of U.S. Foreign Disaster Assistance (OFDA) was required by USAID management and its new re-engineering initiative to produce OFDA's first written strategic plan. USAID is currently restructuring while developing strategic plans, implementing defined objectives, streamlining its personnel requirements, managing for results, and linking emergency assistance with the relief to sustainable development continuum. In developing a new strategy, OFDA has allowed for maximum flexibility because every emergency response is different, while also attempting to apply strategic planning to disaster emergencies.

In establishing its new strategic plan, OFDA will emphasize building on existing local capacities through better and more creative methods for integrated emergency relief response, leading to a process of sustainable development. Although the number of complex man-made emergencies is expected to increase annually, response resources will not keep pace. Therefore, while OFDA continues to plan for long-term emergencies, the new strategic planning structure emphasizes relief/development linkages and obtaining more quantifiable results.

One goal of the new OFDA strategic plan is to bring all major USG relief players together to develop country strategies with an integrated approach, as was done for Somalia, Angola, and the Sudan. This integrated approach will attempt to meet OFDA's two strategic objectives of:

- 1) increasing the adoption of mitigation activities in countries at risk of natural and man-made disasters; and
- 2) meeting the critical needs of targeted vulnerable groups in emergency situations.

To achieve better results in disaster responses, OFDA will be working to:

- 1) enhance the institutional capacities of NGOs and IOs to reduce the impact of disasters;
- 2) strengthen host country capacities to reduce vulnerability to natural disasters;
- 3) use lessons learned from natural and man-made disasters to apply to future emergency responses;

- 4) complete assessments to determine what an acceptable timeframe is for an appropriate response; and
- 5) improve overall practices with other relief organizations to enhance training and standards.

OFDA will be asking PVOs/NGOs to provide different types of information under the new strategic plan as well as feedback on its applications. Ms. Byers stated that PVO/NGO reporting on ongoing OFDA-funded grants will require more quantitative data than in the past. OFDA is working with FFP to standardize the types of information and indicators that will be required during 1997.

The issue of providing assistance for training within new PVO/NGO grants was also addressed. A training component for local PVOs may be included in new proposals and will be reviewed by OFDA for inclusion and funding. New methodologies in data collection may be needed by PVO/NGO personnel, and training may be offered at InterAction or at the field level.

GRANT MANAGEMENT FOR RESULTS: NEW INITIATIVES

A. Grants and the Re-engineered USAID

Presenter: Mike Walsh, USAID's Office of Procurement

Mr. Walsh opened by stating that this conference is about change. USAID and OFDA are changing; humanitarian relief is becoming more complex; and the PVOs/NGOs are in the middle of these changes.

Within USAID and OFDA, the changes include an emphasis on core values, customer standards, and a New Management System (NMS) which reinforces these changes. The core values are:

- 1) results orientation -- entailing grants with more accountability for the accomplishment of specific milestones;
- 2) customer orientation -- implying USAID will use more input from partners and end-beneficiaries in designing programs;
- 3) teamwork -- building trust among USAID offices; PVO/NGO partners, customers, and other relevant parties; and
- 4) empowerment and accountability -- delegating more authority to those closest to the problem.

In other words, USAID will work more closely with its PVO/NGO partners while loosening administrative restrictions in new grants, but will hold them more accountable for accomplishing results in their programs.

Mr. Walsh also briefly discussed the NMS, which is a software program designed to automate all aspects of USAID's programming, budgeting, contracting/grant making, accounting, and paying processes.

He also touched on 22 Code of Federal Regulation (CFR) Part 226 and OFDA's new Grant Proposal Guidelines, which were to be discussed in more detail later in the conference. In short, 22 CFR Part 226 is a codification of existing federal guidance to work within USAID's context. It allows for the loosening of the administrative controls on grants, recognizing that the grants are the PVOs/NGOs' programs. Nonetheless, the grantees will still be expected to accomplish the milestones stated in the grants. This new approach is also conveyed in OFDA's revised Grant Proposal Guidelines, which Mr. Walsh also briefly described.

In conclusion, Mr. Walsh reiterated the importance of communication to build trust and the importance of the PVOs/NGOs internal controls in managing their grants.

USAID will not administer their grants for them. PVOs/NGOs must manage their grants more closely and efficiently as past performance and cost effectiveness will become determining factors in awarding future grants. Mr. Walsh emphasized that USAID will be holding the PVOs/NGOs accountable to heightened standards of performance. He expects the PVOs/NGOs to hold USAID to the higher standards of its core values as well.

B. Review of 22 CFR Section 26: What It Is and Isn't
Presenter: Georgia Beans, USAID/OFDA/PS

Ms. Beans pointed out that the new focus of OFDA grants will be on providing objectives that are quantifiable and will require the establishment of project milestones. In their project descriptions, PVOs/NGOs will have to review how they have addressed local capacities and whether they have considered various possible ways to complete the project. USAID will need to be convinced of not only what the grantee is proposing to do, but how they are going to reach stated goals. The NGO/PVO will need to justify its goals within the new USAID objectives.

Depending on the type of grant, the PVO/NGO may need to provide quantitative data, a PMP component, and/or a rehabilitative section when submitting a grant for OFDA funding. Ms. Beans stressed, however, that the new guidelines should be used only as a tool for writing grant proposals and do not have to be expressly followed.

Ms. Beans wanted the attendees to leave the conference with a clear understanding of what can and cannot be required under a USAID grant. The relationship between USAID and the grant recipient is set forth in 22 CFR 226 or Regulation 26, as it is known within USAID. This federal regulation also addresses the responsibilities of both parties as it relates to a common objective, the PVOs/NGOs' grant programs. Regulation 26 is divided into various sections but Ms. Beans focused her discussion on pre-award and post-award requirements.

The most significant pre-award requirement is the use of standard Form 424 (SF-424). OFDA has incorporated this form and its instructions into the October 1996, Guidelines for New Grant Proposals and Grant Revisions. However, the budget form included in SF-424 is not sufficient in detail, in and of itself, to provide for an award. Therefore, the PVO/NGO still has an administrative burden to support the cost of its program with an adequate level of budget detail elsewhere in the proposal.

The second significant requirement is the special award conditions. Ms. Beans emphasized that these conditions are a remedy for resolving problems that would normally preclude an award. By prescribing an administrative remedy for known problems, USAID can move on and make an award. Special award conditions will

only be applied by the agreement officer when supported by a strong justification from the project officer. Special award conditions do not imply any involvement by USAID in the implementation of the grant recipient's program.

In the post-award requirement phase under Regulation 26, USAID cannot require additional travel approvals. If travel is approved within the budget of the award, then this constitutes approval. Regulation 26 requires program performance reporting and a final report. The frequency of program reports cannot be more than quarterly or less than annually. Monthly or weekly reports will not be required. Moreover, the frequency of financial reports is set forth in Regulation 26 and cannot be increased. Line item financial reports will be replaced with standard forms for financial reporting. Thus, no line item financial reports will translate to no pipeline analysis. The contents of the report will be spelled out in each award. If a PVO/NGO has designed its program for specific outputs, these outputs should be quantified in its reports.

Additionally, Regulation 26 allows the agreement officer to waive certain prior approvals. Approval for extensions of the term of a PVO/NGO grant is already provided. PVOs/NGOs only need to notify USAID/OFDA about a 90-day extension and it will be approved automatically. This new approval process should mean a significant reduction in USAID paperwork.

Ms. Beans concluded by commenting that the hands-off approach of Regulation 26 fits nicely with USAID's other initiatives, re-engineering and the NMS. The spirit of the regulation is to permit PVO/NGO recipients of USAID funding to design, implement, and manage their programs. To make this effective, the PVOs/NGOs must develop their own policies and systems for procurement, personnel, and travel in accordance with Office of Management and Budget circulars.

C. Guidelines for New Grant Proposals and Amendment Requests
Presenter: Kristen Gray, USAID/OFDA Special Projects Coordinator

The re-engineering taking place within USAID is resulting in changes in the way USAID/OFDA reviews proposals and processes grants. The new set of USAID/OFDA grant guidelines being introduced at this conference are necessary because OFDA's requirements have changed. Although USAID/OFDA is putting these new grant guidelines into practice, PVO/NGO feedback is still being solicited to improve the overall process. As stated by other presenters, the difference in these guidelines is USAID's focus on measuring results (i.e. outputs rather than inputs) after reviewing distinct quantifiable objectives and project milestones within new PVO/NGO grant proposals. In order to deliver USAID/OFDA's emergency assistance more effectively, Ms. Gray challenged the PVOs/NGOs to design their projects more creatively. Within the new proposals submitted, OFDA wants to

know that many options were considered and will likely choose those that are most innovative and persuasive.

OPEN DISCUSSION ON IMPROVING THE ASSISTANCE PROCESS

Facilitator: Susan Novick, USAID/OFDA/PS

Panelists: Mike Walsh, USAID's Office of Procurement; Diana Esposito, USAID's Office of Procurement; Georgia Beans, USAID/OFDA/PS; and Valerie Newsom-Guarnieri, USAID/OFDA/DRD

With PVOs/NGOs being asked to assume more responsibility for designing, implementing, and administering their grants, questions were asked of the panel and the attendees about the role of the PVOs/NGOs during the transition and what are USAID's expectations. Following is a review of the open discussion:

Q: How will USAID review past accomplishments by PVOs/NGOs?

A: It has been difficult for USAID to establish evaluation criteria for grants and contracts. A systemized process is being developed. Until it is established, historical reviews will be restricted to the quarterly reports submitted to OFDA by the PVOs/NGOs. In assessing the reports, mitigating circumstances will be considered.

Q: Who will be responsible for assuming the cost of the initial assessments to obtain the necessary quantitative data before submitting a grant?

A: PVOs/NGOs must believe that there are needs not being met if they are willing to submit a grant proposal to OFDA. Where a USAID Disaster Assistance Response Team (DART) exists, the DART could be tapped for useful data or historical information. Otherwise, it will be necessary for the PVOs/NGOs to obtain their own data and incur the costs of assessments and preparation.

Q: What does USAID consider to be agreeable sector evaluation indicators?

A: PVOs/NGOs need to justify the linkage their proposal will provide in the relief to sustainable development continuum and the impact the grant will have in reaching its stated goals. The PVOs/NGOs now are being asked to justify the goals of their grants within the USAID re-engineering objectives.

Participants did not agree on what were acceptable sector evaluation indicators. A USG official in attendance pointed out that there are gaps in standardizing evaluation indicators, but would be willing to work with PVOs/NGOs on creating valid indicators once the PVOs/NGOs have established their grant objectives.

Q: Will PVOs/NGOs be reimbursed for the additional administrative costs that PVOs/NGOs may incur during this transition phase in USAID?

A: PVOs/NGOs may want to start to reexamine their overhead costs, but the USAID grant forms to be required are being standardized for use in all USG agencies.

Q: Will the standardization of grant proposals increase the time it will take to gain grant approval in OFDA?

A: The standardization is intended to streamline and simplify the grant award process.

Q: Can a concept paper assist PVOs/NGOs in providing some of their relevant objectives for an OFDA grant proposal?

A: The same OFDA person (Regional Team Leader) would review the concept paper and the grant. The concept paper could be helpful if there was a DART deployed that could be used to determine whether or not the PVO/NGO response idea was relevant. The concept paper would not be as helpful in a quick onset emergency response where there was insufficient time to review many documents.

Q: When a DART has been deployed, do PVO/NGO sub-agreements get moved to the DART for approval?

A: OFDA staff may use different mechanisms to approve PVO/NGO sub-grants or sub-agreements. Grant approvals can stay in Washington or move to the field depending on what OFDA personnel determine is best for quickly implementing a new grant.

**PROTECTING OUR PRIMARY RESOURCE: THE AID WORKER
PERSONAL/ORGANIZATIONAL PERSPECTIVES**

**Panelists: Randy Martin, IRC; Steve Tomlin, IMC; Jane Swan, InterAction; and
Millie Casperson, Hennepin Crisis Intervention Center**

The conference viewed two International Committee of the Red Cross videos on the types of weapons that aid workers may encounter and how to protect oneself when working around or transiting through minefields.

PVO/NGO training priorities continue to rise in the area of security for their field staffs. Oftentimes, in disaster response circumstances aid workers are reacting normally in an abnormal situation. Recognizing that risk cannot be eliminated from the PVO/NGO working environment and that security can never be absolute, a joint training program is being created by OFDA and InterAction.

The security training program will attempt:

- 1) to enhance the delivery of humanitarian assistance by reducing risk to operations personnel and by strengthening their crisis management skills and overall judgement; and
- 2) to improve the protection and safety of PVO/NGO staff working in areas of risk. This will be accomplished through:
 - a) the development of a training course in security that incorporates the use of relevant field tools; and
 - b) facilitating the broad dissemination of these materials through the incorporation of a training of trainers into the course.

PVOs/NGOs have indicated that using a military model (providing force for security) or a U.N. model (providing backup for security) will not work in the relief community. Instead of depending on heavy arms or extensive resources, PVOs/NGOs will continue to rely on personal demeanor to defuse security incidents in areas where they are providing emergency assistance. However, the panelists pointed out that individual demeanor is linked to one's mental health and psychological conditioning.

Ms. Casperson began a discussion about how refugee settings represent a special challenge to an aid worker's mental health because of the enormity of loss, the massive trauma, and the damage that occurs in the wake of war and political upheaval. Each disaster setting varies in terms of its structure, culture, and quantity of resources. Aid workers have to adapt to the culture and the structure to fit in and avoid causing problems.

Symptoms of burnout may be the final common pathway of continual exposure to traumatic material that cannot be worked through or assimilated. Burnout can be described as a process of fragmentation from one's self as well as from personal and professional relationships. Fragmentation results from a need for protection from a situation perceived as overwhelming and uncontrollable. Signs of burnout may include:

- 1) sense of physical and emotional exhaustion;
- 2) loss of sense of being valued;
- 3) negativism, both in self-concept and in concept of one's job;
- 4) loss of concern for clients;
- 5) feeling of helplessness/hopelessness that "nothing can be done";
- 6) anger and irritability;
- 7) rigidity/inflexibility;
- 8) withdrawal;
- 9) alcohol and/or drug use; and
- 10) physical symptoms such as headaches, back pain, shortness of breath, sleep and appetite disturbances, and gastro-intestinal disturbances.

Those people around a person suffering from burnout will often see its effects before the person affected by the symptoms.

People who work around trauma are often affected as a result of being surrounded by the continual needs of beneficiaries. The worker's trauma often leads to changes in his/her belief systems, values, outlook, and ability to depend on others. Ms. Casperson stressed the need for PVOs/NGOs to permit aid workers to take care of themselves by:

- 1) exercising regularly;
- 2) getting adequate amounts of sleep;
- 3) maintaining a proper diet and nutrition;
- 4) establishing and maintaining positive social interactions;

- 5) setting personal limits on amounts of work;
- 6) setting realistic and achievable goals;
- 7) managing time effectively;
- 8) having a safe place to go and relax; and
- 9) practicing relaxation techniques.

At the PVO/NGO headquarters level, an improvement in communications with the field is necessary, the use of outside counseling should be promoted, stress management courses could provide coping strategies, and regular debriefings might assist in identifying psychological problems that need followup. A person within the headquarters should be designated for returning aid workers to talk to freely about their field experiences.

Mr. Martin spoke on how a PVO/NGO can address security issues in the field. He reviewed questions concerning how to assess, evaluate, and institutionalize security in emergency relief responses. In his presentation, Mr. Martin addressed three broad questions: 1) How do you assess a security environment; 2) How do you evaluate a security program that is already in place; and 3) How do you institutionalize security protocol? A security task force coordinated by Ms. Swan is working to develop answers on security issues in the field.

1) How Do You Assess a Security Environment?

As each disaster response is different, so is the security situation that aid workers will face. For example, PVOs/NGO personnel may have to contend with high crime (Nairobi, Kenya), lawlessness (Afghanistan), landmines and unexploded ordnance (Cambodia, Afghanistan), terrorism (Pakistan, Afghanistan, Angola), warfare (Bosnia-Herzegovina), and guerrilla warfare (Sierra Leone) in conducting their response. A threat assessment should be conducted to determine how best to protect those participating in the complex emergency response.

Some questions to ask when one is identifying potential security threats include:

- 1) What do the local people see as the greatest threat to personal security?;
- 2) Are there landmines or unexploded ordnances in the area?;
- 3) How close and fluid are the confrontation lines? Can the lines be crossed safely?;
- 4) To what extent is the host government willing and able to provide security?;
- 5) Is the relief effort perceived as partisan?;
- 6) Is there hostility toward the relief community from either the host or the beneficiary populations?;
- 7) Is there a banking system? (The use of cash for NGO salaries and operations could lead to a security problem); and
- 8) What are the most common local crimes and how prevalent are they? In

answering all these questions, the assessment team needs to utilize the local hired staff to assist in providing background information on indigenous customs, culture, and safety issues. The InterAction Security Task Force will be working to develop such a list of questions into a security assessment tool.

2) How Do You Evaluate a Security Program That is Already In Place?

If a PVO/NGO is entering an emergency response situation where a security program has been established, Mr. Martin pointed out that it is important to determine whether the security plan represents the recommendations of a threat assessment. Should a security plan already be operational, the PVO/NGO still needs to create and maintain: 1) a record of emergency data on all staff (blood types, allergies, and contact phone numbers); 2) an evacuation plan (what is the plan, has the plan been tested, does the staff understand the plan); 3) a phased-alert system; 4) a communications pyramid or warden system; 5) an effective system of reviewing new employees; 6) security incident debriefings; 7) an employee personnel grievance policy for disgruntled staff; and 8) a stockpile of security materiel (flak jackets, helmets, communications gear, and hard-shell vehicles).

3) How Do You Institutionalize Security Protocol?

Many PVOs/NGOs already have compiled security policies and manuals, and a large amount of security information is already in the public domain. The InterAction Security Task Force hopes to draw all this information together and develop a training curricula in 1997. However, high turnover among PVO/NGO staffs is impeding the training process; many of those who are trained leave the field. Possible solutions proposed included creating field manuals and focusing on the training of security trainers.

Mr. Tomlin reported that the InterAction Security Task Force is attempting to be as inclusive as possible. The task force's final product will depend on the input of all PVO/NGO participants. Most relief organizations have developed their own standard operating procedures and conference participants need to identify the best overarching strategy for providing security to all aid workers in the field. The need to begin to share security experiences among organizations will assist in identifying the best safety practices and strategy. The task force can develop a curriculum but each relief organization will be responsible for its implementation.

Mr. Tomlin also pointed out that leadership has to come from headquarters to invest adequate time and resources to assist aid workers with security issues. Unfortunately, part of the corporate culture of PVOs/NGOs is not to talk about the problems of field work and its inherent dangers. Human resource departments in relief organizations may be the most logical place to focus attention on counseling

and training those workers who are going to the field or who have come home and are dysfunctional. However, costs are great and there remains the question of how PVOs/NGOs will fund these personnel activities. When there are cuts in PVO/NGO revenues, human resource investments are usually affected. Training efforts are also negatively impacted, leaving security orientation to take place in the field. With different security needs occurring across the disaster spectrum, all PVO/NGO personnel need to receive situation-specific security training whether or not they have had field experience in a number of previous disaster responses.

Conference attendees responded that addressing the protection of the aid worker is very timely and important as the number of complex disasters increase annually. Although PVOs/NGOs are aware of the continuing threat to their workers, many in attendance agreed that the corporate cultures of their organizations have not changed to allow for organized discussions of inherent problems aid workers face in the field and once they return to headquarters. The consensus that developed at the conference was that participants should return to their organizations and attempt to start the discussion on these issues.

APPENDICES A - C

APPENDIX A

18th USAID/OFDA PVO Conference
October 30-31, 1996
Crystal City Gateway Marriott Hotel

Agenda

Linking Relief and Development: Putting it into Practice

Purpose: *To provide a forum for PVO/NGOs and USAID to:*

- review changes in USAID

- make recommendations for implementation of relief and development linkages

- discuss the impact of increasingly complex humanitarian situations on aid workers

Day One:

8:15 - 9:00 Registration/Coffee

9:00 - 9:30 Introductions & Welcome

9:30 - 9:55 Changes in the Way USAID Does Business
Brian Atwood, Administrator, USAID

9:55 - 10:25 Keynote Address - Linking Relief and Development
Mary Anderson

10:25 - 10:35 BREAK

10:35 - 12:00 Operational Implications for Linking Relief and
Development
Mary Anderson, Moderator
PANEL
Richard Owens
Susan Lautze
Gerald Martone

12:00 - 1:15 LUNCH

1:15 - 1:45 Review of the Greater Horn of Africa Initiative
Pat Rader, USAID

1:45 - 3:45 Recommendations for Implementing Relief and
Development - Small Group Work

3:45 - 3:50 BREAK

3:50 - 4:45 Present Efforts Linking R & D
Evariste Karangwa, InterAction
Jane Swan, InterAction

4:45 - 5:00 Wrap-up

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Day Two

8:15 - 9:00 Coffee
9:00 - 9:15 Welcome
9:15 - 9:40 USAID/OFDA Strategic Plan Review
Polly Byers

GRANT MANAGEMENT FOR RESULTS: NEW INITIATIVES

9:40 - 10:00 Grants and the Reengineered USAID
Mike Walsh, USAID

10:00 - 10:15 BREAK

10:15 - 11:15 Review of 22 CFR Section 26: What It Is
and Isn't
Georgia Beans, McFadden

11:15 - 11:30 BREAK

11:30 - 12:30 Guidelines for New Grant Proposals and
Amendment Requests
Kristen Gray

12:30 - 1:45 LUNCH

1:45 - 2:30 Open Discussion on Improving the Assistance
Process
Susan Novick, Facilitator
Panel
Mike Walsh
Diana Esposito
Georgia Beans
Valerie Newsom

2:30 - 3:00 Protecting Our Primary Resource - The Aid Worker
Personal/Organizational Perspectives
InterAction

3:00 - 3:15 BREAK

3:15 - 4:40 Protecting The Aid Worker (Continued)

4:40 - 5:00 Closing
Richard Owens, USAID/OFDA

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APPENDIX B

**BHR/OFDA 18th Biennial PVO Conference
List of Participants**

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

Guidelines
for
New Grant Proposals
and
Grant Revisions

Third Edition
October 1996

DRAFT

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U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

Dear Implementing Partner,

You will notice that the third edition of OFDA's *Guidelines for New Grant Proposals and Grant Requests* is significantly different from the previous two. For one thing it is 43 pages shorter in length to reflect an abridgment of the review process. For another thing it has been revised to incorporate fundamental changes in the way OFDA evaluates, processes and manages grants. Three recent developments at USAID have altered the way OFDA, and every other USAID office, does business—a reinvention of government agenda was adopted, a computerized New Management System (NMS) was introduced and a linking relief and development strategy was embraced.

Conceived by Vice President Gore, the reinvention of government concept is a blueprint for greater U.S. Government efficiency. USAID volunteered to participate in the first phase of the experiment and began a process of re-engineering. Although ongoing, the process has resulted in several changes to date. The most important change in the context of these *Guidelines* is USAID's new emphasis on "managing for results." In other words, when reviewing proposals, **OFDA will place greater emphasis on your intended results than on your implementation plan.**

As part of re-engineering, the Agency developed a computerized NMS to streamline the process of designing, funding and managing USAID projects. At the heart of the system is a set of strategic objectives which define the intent of each USAID office. OFDA has two strategic objectives—to encourage increased adoption of mitigation measures in countries at risk of natural and man-made disasters and to meet the critical needs of targeted vulnerable groups in emergency situations (see annex A). When reviewing proposals, **OFDA will evaluate the extent to which your project meets one or both of our strategic objectives.**

As USAID strives to streamline procedures, the Agency also acknowledges the need to improve linkages between relief and development activities, particularly in "transition" countries. A recent USAID paper entitled "Linking Relief and Development in the Greater Horn of Africa" outlines constraints and makes recommendations based on four basic principles (see annex B). When reviewing proposals, **OFDA will consider whether your project embraces the spirit of these principles and satisfies the corresponding conditions.**

These changes, as embodied by the revised OFDA Guidelines, have yet to be tested in a real work environment. Therefore, we invite your feedback as you put them into practice. Only after we arrive at a product that meets OFDA's needs and addresses your concerns will the "draft" stamp be removed.

Sincerely,

Nan Borton
Director
Office of U.S. Foreign Disaster Assistance

The Office of U.S. Foreign Disaster Assistance

USAID's Bureau for Humanitarian Response (BHR) is comprised of eight offices: the Office of U.S. Foreign Disaster Assistance (OFDA), the Office of Food for Peace (FFP), the Office of Transition Initiatives (OTI), the Office of Private and Voluntary Cooperation (PVC), the Office of American Schools and Hospitals Abroad (ASHA), a planning office, an administrative management office and the BHR Assistant Administrator's office. Although the offices operate independently, they often coordinate efforts to achieve shared objectives.

OFDA's unique role is to coordinate the U.S. Government (USG) response to international disasters. Under the management of the OFDA Director, the office is divided into four functional divisions: the Disaster Response Division (DRD), the Operations Support Division (OS), the Prevention, Mitigation, Preparedness and Planning Division (PMPP) and the Program Support Division (PS). Currently, approximately 113 people work for OFDA in Washington and overseas.

The authority to provide disaster relief is contained in the Foreign Assistance Act of 1961, as amended. Of particular importance to OFDA is Section 491(b) which states that:

Subject to the limitations in Section 492, and notwithstanding any other provision of this or any other Act, the President is authorized to furnish assistance to any foreign country, international organization, or private in-

ternational organization, on such terms and conditions as he may determine, for international disaster relief and rehabilitation, including assistance relating to disaster preparedness, and to the prediction of, and contingency planning for, . . . disasters abroad.

Much of this authority is passed to the USAID Administrator who serves as the President's Special Coordinator for International Disaster Assistance. In turn, the USAID Administrator has authorized the OFDA Director to respond to U.S. mission requests for disaster assistance, to organize and coordinate the total USG disaster relief response, to procure supplies, services and transportation and to engage in disaster prevention, mitigation and preparedness activities. Entrusted with these authorities and with funding from the international disaster assistance account, OFDA is able to carry out its mandate—to save lives, to relieve human suffering and to reduce the economic impact of natural and man-made disasters worldwide.

OFDA assistance is not automatically provided following a disaster. Rather, OFDA relies on the U.S. Ambassador or Chief of Mission in the affected country, or the Assistant Secretary of State in Washington, to determine that the following three conditions are present and to officially declare a disaster:

1. The affected country has requested, or will accept, assistance.

2. The magnitude of the disaster exceeds the affected country's capacity to respond.
3. It is in the interest of the USG to provide assistance.

OFDA assistance may take the form of (but is not limited to):

- cash grants to local or international private voluntary organizations/non-governmental organizations (PVO/NGO),
- fund cites to the Embassy/Mission in the affected country,
- cash grants to local government relief agencies,
- the deployment of disaster experts such as OFDA regional advisors, emergency disaster relief coordinators (EDRC), assessment teams or Disaster Assistance Response Teams (DART), or
- the provision of relief supplies.

Currently, more than 60% of OFDA funding is channeled through PVO/NGOs. OFDA relies on the PVO/NGO community to develop proposals based on information provided by OFDA, PVO/NGOs, UN agencies and other organizations. Once received by OFDA, proposals are subject to formal review by committee. Review committees evaluate proposals against several criteria including relationship to OFDA strategic objectives and country strategies, past performance, reasonableness of costs and availability of funds.

OFDA ASSISTANCE CATEGORIES

RELIEF -- assistance which is provided to disaster victims to meet the basic needs necessary to sustain life and reduce suffering

REHABILITATION -- assistance which attempts to restore the self-sufficiency of disaster victims and disaster-affected communities

PREVENTION, MITIGATION AND PREPAREDNESS -- assistance which attempts to reduce the impact of disasters (mitigation) including actions taken prior to the occurrence, such as prevention, preparedness and long-term risk-reduction measures

OFDA Proposal Review and Grant Award Process

Proposals should originate from a PVO/NGO's headquarters and be provided to OFDA/Washington, USAID Mission (if present) and OFDA/Field (if present) **simultaneously**. The process outlined below begins the moment **OFDA/Washington** receives a proposal. Every effort is made to complete the process as quickly as possible. Although the average turnaround time is 4-6 weeks, OFDA may be able to condense the process into several days if necessary.

1. OFDA/Washington contacts PVO/NGO headquarters to acknowledge receipt of proposal.



2. OFDA/Washington, USAID Mission (if present) and OFDA/Field (if present) agree to consider proposal. OFDA/Washington schedules Washington review.



3. Review committee accepts proposal, in full or in part. OFDA/Washington contacts PVO/NGO headquarters as necessary to resolve outstanding issues as identified by OFDA/Washington, USAID Mission and OFDA/Field.



4. OFDA/Washington prepares and processes necessary documentation. USAID's Office of Procurement negotiates and awards grant.



5. OFDA/Washington mails grant document to PVO/NGO headquarters.
(IMPORTANT: It is the responsibility of the PVO/NGO headquarters to forward a copy of the grant to the PVO/NGO field staff.)

OFDA retains the right to reject a proposal at any point in the process at which time OFDA/Washington will contact PVO/NGO headquarters to relay the reasons for the rejection.

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Guidelines for New Grant Proposals

We welcome internet submissions as long as hard copies follow.

Within the parameters of your overall goal, please organize proposals by distinct, quantifiable objectives (see annex C) and include the following information for **each** objective. Be thorough yet succinct.

I. SF 424 (see annex D) AND EXECUTIVE SUMMARY (see annex E)

II. PROJECT DESCRIPTION

- What hard data supports the need for this objective? Have you assessed existing local capacities to respond to the disaster?
- Who are the intended beneficiaries? Include numbers and characteristics.
- Where, specifically, do you propose to implement this objective?
- What are the intended results? Be specific.
- What other organizations are present in the region and how will you coordinate with them?
- Describe, in detail, your implementation plan.
- Does the implementation plan have a rehabilitation component (see page 2 for definition)?
- Does the implementation plan have a prevention, mitigation and preparedness component (see page 2 for definition)?
- How does the implementation plan reflect the principles of linking relief and development (see annex B)?
- What is your proposed standard of delivery (e.g. 15 liters of water/person/day)? If your standard of delivery differs from the accepted international standard, explain the difference.
- Describe your logistics plan.
- How long do you expect it to take your organization to accomplish this objective?
- Describe your phase-out/phase-over plan.
- If operating in a high-risk country, describe your emergency plan.

III. MONITORING AND EVALUATION

- Set milestones to help OFDA track your progress. For example, how long will it take you to become fully operational? How long will it take you to accomplish 25%, 50% and 75% of your stated objective?
- How will you monitor your own success in achieving the intended results? What evaluation criteria have you set and how will the information be collected?

IV. BUDGET

- Complete SF 424 (see annex D) noting that each objective corresponds to a single column in SF 424 A, section B, number 6.
- Include a detailed, itemized budget organized by objective (see annex F) and a budget narrative to support costs proposed (see annex G).

Continued on next page

Guidelines for New Grant Proposals (continued)

V. ADMINISTRATION

- Detail your qualifications and include information on past performance.
- Include completed Certifications and Representations.
- Include self-certification documentation.
- Include a copy of your negotiated indirect cost rate agreement (NICRA), if applicable.
- Provide information in support of any cost-sharing/matching funds.
- Provide information in support of any in-kind contributions.
- Detail your subgrants/sub-awards plan, if applicable.
- If your organization is non-U.S. and non-registered, submit financial statements.

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Guidelines for Grant Revisions

Per USAID 22 CFR 226.25 (c) 1-8, you must receive *prior written approval* if:

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

Select all conditions that apply from the following list to determine what information is required by OFDA to review and process your amendment request. All information should originate from your headquarters and be directed to the OFDA project officer. If approved, written approval will be provided by the USAID agreement officer unless otherwise stated in the award.

WHEN A CHANGE TO THE PROGRAM DESCRIPTION IS PROPOSED

If a new objective is proposed, substantiate the objective with information appropriate to a new grant proposal (see pages 4 and 5) and include an executive summary (see annex E). If no new objective is proposed but a change to the program description is required to satisfy an existing objective, justify the change. Submit requests at least 45 days in advance.

WHEN ADDITIONAL FUNDS ARE REQUIRED

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

WHEN ADDITIONAL TIME IS REQUIRED

(unless the need for prior written approval was specifically waived in the grant agreement)

Explain why the objective(s) cannot be accomplished by the existing grant end date. Modify all milestones to correspond to the new time frame. Submit requests at least 10 days in advance of the grant expiration date.

FOR ALL OTHER CHANGES

Justify the need to deviate from the original grant agreement.

See USAID 22 CFR 226 for more information.

Guidelines for Reporting

At first glance, reporting requirements may not seem to fit neatly into the framework of these guidelines. But, given USAID's new emphasis on managing for results, an organization's ability to quantify and report on successes is as important as its ability to accomplish its stated objectives. When developing proposals, bear in mind that OFDA will require regular reporting, organized by objective. For *each* objective, the following information will be required:

- a comparison of actual accomplishments with the goals and objectives established for the reporting period (whenever possible, include quantifiable data such as unit cost per beneficiary and how measured)
- reasons why established goals and objectives were not met, if appropriate
- analysis and explanation of cost overruns, high unit costs or cost savings
- all other information required under the conditions of the grant as set forth in the schedule of award

The reporting frequency will be stated in the grant agreement. Reports will not be required more frequently than quarterly or less frequently than annually. Quarterly or semi-annual reports are due to OFDA 30 days after the reporting period. Final reports are due to OFDA 90 days after the termination or expiration of the grant agreement. All reports should originate from your headquarters and be distributed in accordance with the schedule of award.

Recipients shall immediately notify USAID of developments that have a significant impact on the award-supported activities. Also, notification shall be given in the case of problems, delays or adverse conditions which materially impair the ability to meet the objectives of the award. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situations. [Notifications shall be by any means of communication.]

-- USAID 22 CFR Part 226

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ANNEXES

USAID/BHR/OFDA Strategic Objectives

Like every other operating unit within USAID, BHR/OFDA developed a set of strategic objectives to define its intent. OFDA settled on two strategic objectives which closely relate to the goals of the two operational OFDA divisions—the prevention, mitigation, preparedness and planning division (PMPP) and the disaster response division (DRD). Within the strategic objective framework, OFDA established a series of intermediate results (see below) and indicators (not shown below) against which OFDA can measure progress towards the broader objectives. When evaluating proposals, OFDA will consider the extent to which your project satisfies one or more of these intermediate results.

1. Increased adoption of mitigation measures in countries at risk of natural and man-made disasters.

INTERMEDIATE RESULT 1.1: Enhanced institutional capacity of PVO/NGOs and international organizations for PMP in natural disasters.

INTERMEDIATE RESULT 1.2: Strengthened host country capacity for PMP in natural disasters.

INTERMEDIATE RESULT 1.3: Improved strategic use of disaster resources to link relief activities to rehabilitation and development.

2. Critical needs met of targeted vulnerable groups in emergency situations.

INTERMEDIATE RESULT 2.1: Target population and their needs and capacities identified.

INTERMEDIATE RESULT 2.2: Targeted affected populations receiving emergency assistance meeting recognized standards, within acceptable time frame.

INTERMEDIATE RESULT 2.3: Delivery of short-term rehabilitation activities to help restore life-sustaining productivity of selected target populations.

INTERMEDIATE RESULT 2.4: Development and acceptance of training curricula, standards, protocols, and other guidance for the international relief community to provide better humanitarian assistance.

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Principles of Linking Relief and Development

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

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

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

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

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

3. Relief programs shall reinforce development objectives.

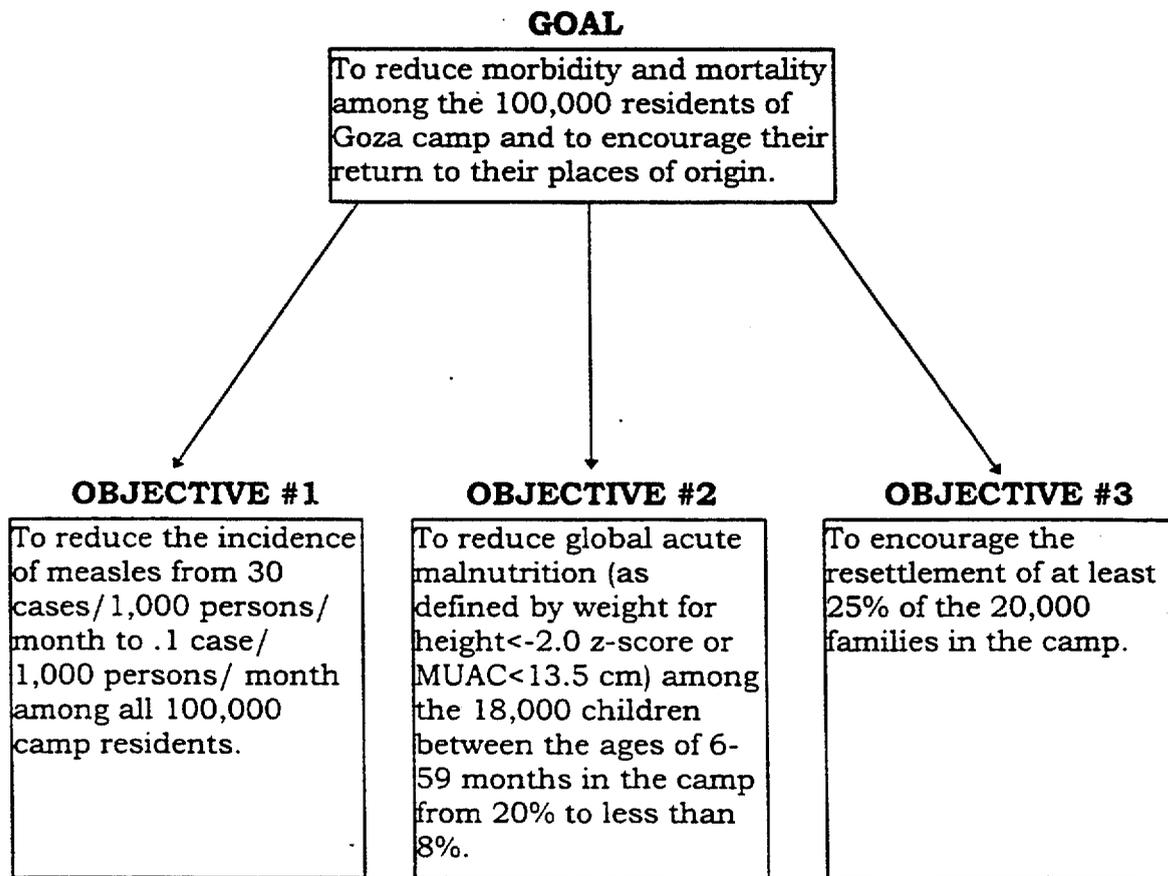
- Whenever practical, recipient organizations shall assess existing capacities to respond to the disaster and conduct a needs assessment based on the findings prior to undertaking response activities.
- Recipient organizations shall support and supplement indigenous attempts to recover from relief and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

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

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

Sample Goal And Objectives

For OFDA's purposes, an objective is a distinct, quantifiable aim. Although a proposal should have one goal, it may have many objectives as in the example below.



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INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|--|-------|--|
| 1. | Self-explanatory. | 9. | Name of Federal agency from which assistance is being requested with this application. |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. |
| 3. | State use only (if applicable). | 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application. | 13. | Self-explanatory. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 7. | Enter the appropriate letter in the space provided. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- "New" means a new assistance award.

- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |

SF 424 Back (Rev. 4-92)

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INSTRUCTIONS FOR THE SF 424 (continued)

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

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USAID/BHR/OFDA Guidelines for New Grant Proposals and Grant Revisions
 October 1996
 Standard Form 424
 Annex D

**APPLICATION FOR
 FEDERAL ASSISTANCE**

OMB Approval No. 0348-0043

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

Previous Edition Usable
 Authorized for Local Representative

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

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INSTRUCTIONS FOR THE SF 424A.

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

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

General Instructions

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

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

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

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

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

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

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

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

Line 5 - Show the totals for all columns used.

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

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

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

Line 6j - Show the amount of indirect cost.

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

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

Section C. Non-Federal Resources

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

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

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

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

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

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

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

Section D. Forecasted Cash Needs

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

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

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

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

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

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

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

Section F. Other Budget Information

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

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

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

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Standard Form 424A

OMB Approval No. 0348-0044

Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1.	\$	\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS	\$	\$	\$	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total {5}	
	{1}	{2}	{3}	{4}		
a. Personnel	\$	\$	\$	\$	\$	
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	
7. Program Income	\$	\$	\$	\$	\$	

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Annex D

Standard Form 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES

	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.		\$	\$	\$	\$
9.					
10.					
11.					
12. TOTAL (sum of lines 8 - 11)		\$	\$	\$	\$

SECTION D - FORCASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-federal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

	(a) Grant Program	Future Funding Periods (Years)			
		(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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Suggested Format for Executive Summary

(to be attached to body of proposal)

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

Country : _____

Disaster: _____

Area of Activity: _____

Period of Activity: _____

Total Number/Type of Beneficiaries: _____

Dollar Amount Requested from OFDA: \$ _____

Dollar Amount Requested from Other Sources: + \$ _____

Dollar Amount of In-Kind Contributions: + \$ _____

Total Dollar Amount of Project: = \$ _____

Describe, *in one paragraph*, the history of the disaster and include a justification for intervention.

Objective #1 (see annex C for example)¹: _____

Questions apply only to objective #1.

Size of targeted population: _____

Length of time needed to fully satisfy objective: _____

Mortality rate among targeted population (if applicable): _____

Morbidity rate among targeted population (if applicable): _____

Standard of delivery to be used to (e.g. # of liters of water/person/day): _____

¹ Use reverse side for additional objectives.

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Suggested Format for Executive Summary (continued)
(to be attached to body of proposal)

Objective #2: _____

Questions apply only to objective #2.

Size of targeted population: _____
Length of time needed to fully satisfy objective: _____
Mortality rate among targeted population (if applicable): _____
Morbidity rate among targeted population (if applicable): _____
Standard of delivery to be used to (e.g. # of liters of water/person/day): _____

Objective #3: _____

Questions apply only to objective #3.

Size of targeted population: _____
Length of time needed to fully satisfy objective: _____
Mortality rate among targeted population (if applicable): _____
Morbidity rate among targeted population (if applicable): _____
Standard of delivery to be used to (e.g. # of liters of water/person/day): _____

Objective #4: _____

Questions apply only to objective #4.

Size of targeted population: _____
Length of time needed to fully satisfy objective: _____
Mortality rate among targeted population (if applicable): _____
Morbidity rate among targeted population (if applicable): _____
Standard of delivery to be used to (e.g. # of liters of water/person/day): _____

Number of objectives is not limited to four. Use additional sheets if necessary.

Sample Budget Detail¹

Budgets must be organized by objective. Confirm that the total for objective #1 matches the total on SF 424 A, section B, number 6, column (1), line k (see annex D) and so on. However, do not simply duplicate the information captured by SF 424 A. Rather, within each object class category (OCC), provide a detailed breakdown of related line-items. If a line item applies to more than one objective, allocate a percentage to each objective as appropriate.

OCC	LINE ITEM	COST
OBJECTIVE #1		
Personnel	Expatriate Project Manager (1 @ \$2,500/mo x 6 mos x 50%) ²	\$7,500
	National Engineer (1 @ \$500/mo x 6 mos)	\$3,000
Fringe Benefits	House Rental (1 @ \$600/mo x 6 mos x 50%) ²	\$1,800
Travel	International Airfare (1 @ \$2,000/ea x 50%) ²	\$1,000
Equipment	Monolith Pump (1 @ \$3,300/ea)	\$3,300
Construction	Construction Materials ³	\$8,000
Other	Office Rental (1 @ \$500/mo x 6 mos x 50%) ²	\$1,500
	Vehicle Rental (1 @ \$1,000/mo x 6 mos)	\$6,000
Total Direct Charges		\$32,100
Indirect Charges	@ 10% excluding capital equipment	\$2,880
Total Objective #1		\$34,980
OBJECTIVE #2		
Personnel	Expatriate Project Manager (1 @ \$2,500/mo x 6 mos x 50%) ²	\$7,500
	National Nurse (3 @ \$300/mo x 6 mos)	\$5,400
Fringe Benefits	House Rental (1 @ \$600/mo x 6 mos x 50%) ²	\$1,800
Travel	International Airfare (1 @ \$2,000/ea x 50%) ²	\$1,000
Supplies	Medical Supplies ³	\$4,000
Other	Office Rental (1 @ \$500/mo x 6 mos x 50%) ²	\$1,500
	Vehicle Rental (1 @ \$1,000/mo x 6 mos)	\$6,000
Total Direct Charges		\$27,200
Indirect Charges	@ 10%	\$2,720
Total Objective #2		\$29,920
Grand Total		\$64,900

¹ For illustrative purposes only. Grantees are free to submit budget detail consistent with their organizations' internal accounting systems and to combine information in accordance with their internal accounting practices.

² Total cost divided between objectives

³ Itemized list follows

Sample Budget Narrative

The budget narrative provides an opportunity to substantiate the figures in the budget. Do not repeat the same information but rather explain how you arrived at the totals. Include data to support actual costs and/or methodologies to support costs estimates. If a line item applies to more than one objective, list it only once.

OBJECTIVE #1

Expatriate Project Manager -- The project manager will divide her time evenly between the two objectives. Her salary is based on the established salary scale at our organization.

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

House Rental -- The house will be occupied by the project manager. The monthly rent for the 1200 sq. ft. house is based on actual cost of \$.5/sq. ft.

International Airfare -- One round-trip ticket is required to get the project manager from our headquarters in the U.S. to the project site and back again. The price quoted is based on actual cost.

Monolith Pump -- The price quoted is based on actual cost established through competitive bids.

Construction Materials -- The price quoted is based on actual cost established through competitive bids.

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

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

OBJECTIVE #2

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

Medical Supplies -- The price quoted is based on actual cost established through competitive bids.

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

Sample Revised Budget Detail

Organize revised budgets by objective to correspond to the budget in the grant document. Complete a new SF 424 A (see annex D) to reflect revised costs. The sample below is based on a six-month project with two original objectives. Halfway through the grant period, an amendment was requested and a third objective was proposed. Therefore, shared costs, such as the project manager, were reallocated among the three objectives for the second half of the grant period. **Detailed information must be provided for all new line items under existing objectives and all line items under new objectives. A revised budget narrative is required to substantiate all new costs.**

OCC	LINE ITEM	REVISED BUDGET
OBJECTIVE #1		
	Cost Savings	(\$2,347)
	National Assistant Engineer (1 @ \$300/mo x 3 mos)	<u>\$900</u>
Total Objective #1		(\$1,447)
OBJECTIVE #2		
Total Objective #2	Cost Savings	(\$2,347)
OBJECTIVE #3		
Personnel	Expatriate Project Manager ¹ (1 @ \$2,500/mo x 3 mos x 33%)	\$2,500
	National Nutritionist (1 @ \$500/mo x 3 mos)	\$1,500
Fringe Benefits	House Rental ¹ (1 @ \$600/mo x 3 mos x 33%)	\$600
Travel	International Airfare ¹ (1 @ \$2,000/ea x 33%)	\$667
Supplies	Scales (5 @ \$100/ea)	\$500
	Cooking Supplies ²	\$800
Other	Office Rental ¹ (1 @ \$500/mo x 3 mos x 33%)	\$500
Total Direct Charges		\$7,067
Indirect Charges	@ 10%	<u>\$707</u>
Total Objective #3		\$7,774
Grand Total		\$3,980

¹ Total costs divided between objectives

² Itemized list follows