



Request for Concept Notes

Bureau for Humanitarian Assistance (BHA) Desk Review and Market Study & Political Economy Analysis for Resilience Food Security Activities (RFSAs) in Somalia

The United States Agency for International Development (USAID) Bureau for Humanitarian Assistance (BHA) and [LASER PULSE](#)¹ (Long-term Assistance and Services for Research, Partners for University-Led Solutions Engine), hereafter referred to as LASER PULSE, seek Concept Notes (CNs) from multidisciplinary teams of researchers and development professionals (preferable) or individual experts, to undertake a resilience, food, and nutrition security (1) Desk Review and Market Study (DRMS) and (2) a Political Economy Analysis (PEA) to inform the design strategies and approaches of a future multi-year Resilience Food Security Activity (RFSAs) in Somalia. BHA RFSAs focus on rural populations that are chronically vulnerable to nutrition and food insecurity. The goal of these activities (two studies) is to improve and sustain the food and nutrition security of vulnerable populations. Any potential RFSAs solicitation in Somalia will be aligned with the USAID/Somalia 2020-2025 Country Development Cooperation Strategy ([CDCS](#)), which aims to see “Somalia and its people more effectively withstand disruptions and increasingly drive their own development.” These research studies are intended to provide BHA design teams and potential implementing partners with a deep contextual knowledge of Somalia (specific provinces, to be determined); which will inform decisions related to USAID and BHA policy and legislative requirements.

This request for CNs is administered by the LASER PULSE consortium led by Purdue University and funded by USAID BHA. The work will occur in multiple phases (as per instructions from BHA) between June 2023 and February 2024. Specific requirements on eligibility and team composition can be found in [Section II Part A](#). The CNs must use the [CN template](#) provided, written in English, with narrative portions prepared in MS Word or Open Office format, using Calibri font, size 11, or similar typeset in single line spacing. For details, please see [Section II](#) (Request for Concept Notes).

I. RESEARCH STUDIES

Somalia has significant and ongoing humanitarian caseloads due to recurrent shocks, such as conflict, droughts, and economic crises; and underlying or chronic drivers of food and nutrition insecurity, such as poverty and poor feeding practices. BHA RFSAs seek to reduce the need for ongoing and future food and nutrition security humanitarian assistance and build resilience among households and communities vulnerable to recurrent shocks. BHA intends for some or all of the analytical products to be posted publicly and complement relevant solicitations so that potential applicants can use the analysis to better inform their understanding of context and of key demographic profiles, and sectoral themes relevant to food and nutrition security, poverty, and resilience in two provinces in Somalia. More broadly, the analytical products will contribute to the BHA and USAID goals of improving the quality and impact of food security programming, saving lives, and reducing the need for humanitarian

¹ LASER (Long-term Assistance and Services for Research) PULSE (Partners for University-Led Solutions Engine) is a ten-year, program funded through USAID’s Innovation, Technology, and Research Hub, that supports the research-to-translation value chain through a global network of universities, government agencies, non-governmental organizations, and the private sector for research-driven, practical solutions to critical development challenges in USAID partner countries (UPC). LASER PULSE supports the discovery and uptake of research-sourced, evidence-based solutions to development challenges spanning all USAID technical sectors and global geographic regions.

assistance.

A. Desk Review and Market Study (DRMS)

BHA proposes a resilience, food, and nutrition security desk review and market study (DRMS) and the associated deliverables to inform the BHA multi-year activity design process and serve as a publicly available resource for implementing partners developing concept notes and applications to BHA multi-year RFSAs solicitations in Somalia. BHA will require one report covering two provinces (to be determined). The DRMS has two specific objectives:

- To provide BHA and potential implementing partners with a deep contextual understanding regarding the resilience and food and nutrition security context, stakeholders, and key activity design issues for consideration.
- To inform the [Bellmon determination](#) and the selection of food assistance modalities for each of the targeted geographic areas.

The DRMS will document the general country and targeted subnational context (two provinces, to be determined), the food security situation, and the food and nutrition security-related strategies, initiatives, and programs, as well as the lessons learned from such efforts.

Please review the full [proposed program description](#) for the DRMS when drafting your response. Be sure to take note of the deliverable timelines.

B. Political Economy Analysis (PEA)

USAID/BHA proposes a resilience, food, and nutrition security Political Economy Analysis (PEA) to inform the design of a potential RFSAs solicitation in Somalia and to serve as a publicly available resource for implementing partners for applications responding to a RFSAs solicitation. BHA may request more than one PEA at the subnational level. The PEA(s) will provide context-specific situational awareness. With this broad purpose in mind, BHA seeks a synthesis of existing information regarding:

- The interests and behavior of key actors and institutions.
- The patterns and causes of the conflict.
- How governance, political instability, and conflict impact the resilience of local populations.
- The sociopolitical context in which they are situated.
- Political-economic dynamics in Somalia and how they influence patterns of vulnerability and chronic food and nutrition insecurity.

Please review the full [proposed program description](#) for the PEA when drafting your response. Be sure to take note of the deliverable timelines.

C. Estimated Funding and Time

Please see the estimated funding available and the timeline for the research studies below, which are based on the work assignments provided in Sections IA and IB.

A proposed timeline that is based on the deliverables of each of the two studies has been developed and can be found in the specific program description document for the studies. Applicants must commit to being able to meet these timelines when applying for this call for concept notes.

Study	Estimated Funding	Report Deadline	Expected Deliverables
Desk Review & Market Study	\$350,000	November 17, 2023	<p>Deliverables:</p> <ol style="list-style-type: none"> 1. Work Plan (outlining milestones and deliverables) 2. Data Collection Tools (incl. KII and FGD checklists/guide) 3. DRMS Report Outline 4. Annotated Bibliography² 5. Presentation on Initial Findings 6. One (1) Final DRMS Report (< 35 pages main text) <p><i>Proposed Milestones:</i></p> <ul style="list-style-type: none"> ● <i>Co-Creation of Program Description</i> ● <i>IRB Submission</i> ● <i>Enumerator recruitment and training</i> ● <i>Data collection completion</i> ● <i>Data analysis</i>
Political Economy Analysis	\$200,000	November 17, 2023	<p>Deliverables:</p> <ol style="list-style-type: none"> 1. Work Plan (outlining milestones and deliverables) 2. Data Collection Tools (incl. KII and FGD checklists/guide) 3. PEA Report Outline 4. Annotated Bibliography 5. Presentation on Initial Findings 6. One (1) PEA Report (< 35 pages main text) <p><i>Proposed Milestones:</i></p> <ul style="list-style-type: none"> ● <i>Co-Creation of Program Description</i> ● <i>IRB Submission</i> ● <i>Enumerator recruitment and training</i> ● <i>Data collection completion</i> ● <i>Data analysis</i>

² One Annotated Bibliography is expected across all two research studies (DRMS, PEA).

II. REQUEST FOR CONCEPT NOTES (CNs)

USAID and LASER PULSE seek concept notes (CNs) from multidisciplinary teams of researchers and development professionals, and/or individual experts, to undertake the two research studies described in the previous sections.

The applicants should meet the qualifications, expertise, and experience in areas and roles identified in the eligibility and qualifications section below. We require all applicants to register on the LASER PULSE Network at <https://laserpulse.org/network/>.

A. Eligibility

Every applying team is encouraged to include researchers from Higher Education Institutions (HEIs) in the US and/or Low and Middle-Income Countries (LMICs), especially the country of study. The CN will be assessed according to the strength and experience of the team as a whole (see below) when applying as a team. Applicants with an active SAM.gov registration will be given priority, though applicants with a SAM.gov application in the process will also be considered.

IMPORTANT NOTE on Non-Disclosure Agreement & Recusal requirement: Individuals participating in work associated with this research must recuse themselves and their organizations from any work associated with the Somalia BHA RFSA solicitations and subsequent awards. Individuals that participate must submit a [non-disclosure agreement \(NDA\)](#), and agree to comply with all processes and procedures developed to mitigate organizational and individual conflicts of interest. The selection of final teams is contingent on this requirement. **At the time of submission, applicants must ensure that all internal requisite sign-offs within their institution have been received on the [Institutional Recusal](#) form to mitigate delays in the research process. The signed Institutional Recusal must be included as part of the application package.**

B. Qualifications/Expertise Desired

Desk Review and Market Study:

Desk Review

- Demonstrated experience designing and conducting desk reviews, in international humanitarian or development contexts
- Demonstrated ability to manage large multi-sectoral and interdisciplinary research or product development teams.
- Demonstrated experience with rapid rural appraisal approaches, tools, and methodologies.
- Demonstrated experience with other qualitative data collection and analysis methods is highly desired.
- Demonstrated experience in conducting research in international humanitarian or development contexts.
- A Master's or Ph.D. level education in nutrition or public health, food security or agricultural/development economics, political economy, or related disciplines.
- Demonstrated capacity to develop ArcGIS mapping products, Tableau database, and dashboard products.
- Demonstrated strong communication skills related to report writing and providing

oral presentations. Demonstrated ability to manage teleconference platforms, such as Zoom, Webex, and Adobe Connect is highly desired.

- Demonstrated knowledge of and ability to manage institutional review boards and ethical compliance processes.

Market Study

- Demonstrated experience designing and conducting market analyses.
- Demonstrated experience conducting research that will inform the Bellmon determination, food assistance modalities, and programming such as the graduation approach, or similar experience.
- Demonstrated experience with market structure, conduct and performance analyses, and the rapid rural appraisal and other qualitative methods highly desired.
- At least five years of experience related to food security or agricultural sectors, with a Master's or Ph.D. in economics, business, agriculture, or other relevant disciplines.
- Demonstrated experience working with the Somalia food security or agricultural context.
- Demonstrated good communication skills related to report writing and providing oral presentations.

Political Economy Analysis:

- A strong background in political economy analysis
- Experience analyzing the impact of socio-political phenomena on local populations and regional food systems
- Familiarity and expertise with Somalia and the targeted geographic areas preferred
- Experience and competence with the following research methods:
 - Analytical desk reviews
 - Key informant interviews
 - Focus Group Discussions
 - Geographic Information Systems analysis and mapping
 - Stakeholder mapping and analysis
 - Qualitative data analysis

C. Required Documents for Submission

- 1. Concept Note:** Use the [CN Template](#) provided. The CNs must be in English, with narrative portions prepared in MS Word or Open Office format, using Calibri font, size 11, or similar typeset in single line spacing, and must include the following sections:
 - a. RFSA Country Name:** Somalia.
 - b. Contact details:** Full name, position, affiliation, and contact information. If applying as a team, include information on all collaborators on the research team and their roles and responsibilities (For example, Principal Investigator, Market Economist, etc).
 - c. Proposed Approach / Method:** Applicants must provide a proposed approach/methodology and detailed analysis methods for each study (DRMS, PEA).

- d. **High-Level Workplan and Budget:** Applicants must explain how the research team will meet the deliverables listed in the DRMS and PEA program description, respectively, in line with this workplan. In addition, the workplan should include a high-level budget plan showing the allocation of resources for each study. A detailed final budget will be created during the co-creation process.
 - e. **Overview of Study Expertise in Somalia:** Please identify each individual's experience related to the two studies (DRMS and PEA) in Somalia.
 - f. **Individual Capacity Statement:** A brief description of each individual's relevant prior work. (1-page limit per individual).
 - g. **Team Roles and Responsibilities:** Please explain the management structure for the research team as well as the roles and responsibilities of each team member (1-page limit).
 - h. **Individual Availability Agreement:** Acknowledgement that by submitting this CN, the applicant's availability as a candidate for this research is active for 60 days from the date of submission, and am able to dedicate the requisite level of effort to this scope of work until February 9, 2024.
2. **Curriculum Vitae (CV):** A CV of each individual, including academic record and list of publications relevant to the research.
 3. **Individual Non-Disclosure Agreement (NDA) and Institutional Recusal Agreement:** Each individual listed in the CN will be required to review and sign the [NDA](#) for eligibility. Separate, signed NDAs should be attached as part of the submission. Additionally, signed [Institutional recusal](#) must also be submitted together with the CN.
 4. **Applicants should submit their CNs through Qualtrics at [this link](#) by 5:00 pm EDT, June 2, 2023.** Items 1, 2, and 3 should be combined into one (1) PDF. **All the applicants are highly encouraged to initiate the IRB application process after submission of the CN.**

NOTE: Prospective applicants can submit any questions concerning the statement of work. Questions should be sent to Leulseged Kasa (lmekonen@purdue.edu) with Subject Line: "QUESTION FOR LASER BHA Somalia RFSA MAY 2023 Application". Questions should be received no later than **5:00 pm EDT, May 22, 2023.**

D. Concept Note Review

LASER PULSE and the BHA team will review all concept notes. The submitted CNs will be evaluated by a committee of peer reviewers, jointly selected by USAID and LASER PULSE, based on the following criteria:

- **Management Capacity:** i.e. capacity to co-design and implement the proposed

work, lead and coordinate different research workstreams, and ability to develop deliverables that are well synced across the different research studies. Qualifications, skills, experience, and availability of all individuals applying will all be considered.

- **Experience In-Country**, based on demonstrated work conducted in Somalia, an understanding of country context, and connections to in-country organizations/ stakeholders for primary data collection purposes.
- **Research Study Expertise**, based on demonstrated past experiences in designing and implementing different research studies (Desk Review and Market Study and Political Economy Analysis).

Those applications that demonstrate experience and evidence across all two studies and in Somalia are preferred. We recommend that PIs take this into consideration when forming their research teams.

LASER PULSE Rating Definition for Concept Notes (CN) Evaluation Criteria.

Adjectival Rating	Descriptive Statement: Management Capacity
Excellent (5)	Proposed principal investigators meet the desired management expertise detailed above to meet the study objectives including, but not limited to: <ul style="list-style-type: none"> ● Demonstrated experience managing large multi-sectoral and interdisciplinary research or product development teams ● Demonstrated experience ensuring timeliness of deliverables and meeting deadlines ● Demonstrated experience managing research and quality control processes and coordinating between research teams and the donor ● Demonstrated experience ensuring consistency within and across documents ● Demonstrated experience obtaining swift approval of and managing Institutional Review Board processes
Very Good (4)	Proposed personnel meet most of the desired expertise but fail to demonstrate expertise across all qualifications listed above. Personnel have many very qualified individuals and several with developing management experience.
Good (3)	Proposed personnel meet some of the desired expertise but fail to demonstrate expertise across all qualifications listed above. Personnel have a few very qualified individuals, and many with developing research experience.
Fair (2)	Proposed personnel meet some of the desired expertise but fail to demonstrate expertise across all qualifications listed above. The concept note proposes many personnel with emerging expertise and no candidates that fully meet the qualifications above.
Poor (1)	Proposed personnel do not meet the qualifications above.

Adjectival Rating	Descriptive Statement: Research Study Expertise
Excellent (5)	Proposed personnel meet the desired technical expertise detailed above for each of the proposed studies including, but not limited to: <ul style="list-style-type: none"> • Demonstrated experience designing and conducting desk review and market analyses, in international humanitarian or development contexts • Demonstrated experience analyzing the impact of socio-political phenomena on local populations and regional food systems
Very Good (4)	Proposed personnel meet most of the desired expertise but fail to demonstrate expertise across all qualifications listed above. Personnel have many very qualified individuals and several with developing research experience.
Good (3)	Proposed personnel meet some of the desired expertise but fail to demonstrate expertise across all qualifications listed above. Personnel have a few very qualified individuals, and many with developing research experience.
Fair (2)	Proposed personnel meet some of the desired expertise but fail to demonstrate expertise across all qualifications listed above. The concept note proposes many personnel with emerging expertise and no candidates that fully meet the qualifications above.
Poor (1)	Proposed personnel do not meet the qualifications above.

Adjectival Rating	Descriptive Statement: In-country Expertise
Excellent (5)	All proposed personnel have extensive experience conducting relevant research in Somalia.
Very Good (4)	Most proposed personnel have extensive experience conducting relevant research in Somalia.
Good (3)	Some proposed personnel have extensive experience conducting relevant research in Somalia.
Fair (2)	Few proposed personnel have extensive experience conducting relevant research in Somalia.
Poor (1)	No proposed personnel have extensive experience conducting relevant research in Somalia.

Using the abovementioned criteria, the highly ranked CNs will move to the next round of co-creation³. USAID will provide a final review.

³ The best ranked CNs from individual applicants may be matched with other applications to form a qualified team.

III. NEXT STEPS

Once a CN is selected, the finalist team will be invited to an orientation session hosted by LASER PULSE. The co-creation among the research team, LASER PULSE, and USAID commences after the orientation meeting to refine an in-depth program description for this activity. As part of the co-creation of a full program description, the finalist team will be required to do the following:

- The Principal Investigator (PI) and Co-PIs (study team leads) must (a) register on <https://laserpulse.org/network/> and (b) complete both LASER PULSE's online training [gender analysis in research](#) and [Embedded Research Translation training](#) before they submit the CN.

Concept Note Template

1. **RFSA Country Name:** [Somalia](#)
2. **Is this a team or individual submission?**⁴ [Team/individual](#)
3. **Contact Details**

Please enter the details of all individuals applying. Please include full name, current title/position, affiliated organization, and the role and responsibilities of the research team (if applicable). Applicants must identify the PI and the study leads when applying as a team.

Full Name	Position	Organization	Team Role	Email
<i>E.g. Mirabel Diaz</i>	<i>Professor</i>	<i>University Z</i>	<i>Principal Investigator</i>	<i>xxx@xxx.xxx</i>
<i>E.g. Sue Zhang</i>	<i>Market Economist</i>	<i>Consulting Firm X</i>	<i>Market Economist</i>	<i>yyy@yyy.yyy</i>

4. Proposed Approach/Method (one-page max for each study - DRMS, PEA)

Applicants must provide a proposed approach/methodology and detailed analysis methods for each study (DRMS, PEA). Applicants must list the documents, datasets, or other sources that will be reviewed and analyzed. Applicants should also indicate the sampling strategies and data collection methods, if applicable.

5. High-Level Workplan and Budget

Applicants must explain how the research team will meet the deliverables listed in the DRMS and program description, respectively, in line with the indicated timeline for deliverables. Please indicate key milestones and activities/tasks for each deliverable in the timeline to ensure the timely completion of this project. If there are any deviations from this timeline, please indicate how the research team will still meet the reporting deadline of **November 17, 2023**. **Please note that this project has a rigid and strict timeline.** In addition, the workplan should include a high-level budget plan showing the allocation of resources for each study. A detailed final budget will be created during the co-creation process.

6. Overview of Study Expertise in Somalia

Each individual should identify their experience in Somalia and their research expertise across the two studies in the table below.

⁴ While the application is open to either teams or individuals, teams will be given preference.

Name	DRMS (Yes/No)	PEA (Yes/No)	Experience in Somalia (Yes/No)
<i>E.g. Mirabel Diaz</i>			
<i>E.g. Sue Zhang</i>			

7. Individual Capacity Statement(s)

A brief description of each individual’s related/ relevant prior research and expertise in areas of relevance to this project scope in Somalia (1-page limit per individual).

Please describe and provide evidence on each team member’s expertise:

- relevant expertise in conducting one or all two different studies in Somalia, including links to relevant studies.
- how this expertise will fulfill the work detailed in each proposed project description ([DRMS](#) and [PEA](#))
- the type of connections and partnership opportunities you have with stakeholders/ universities or other organizations in Somalia.

8. Team Roles and Responsibilities

Please explain the management structure for the research team as well as the roles and responsibilities of each team member. (1-page limit)

Team Management: Applicants must describe the leadership, reporting structures, and quality assurance protocols.

Team Structure, including an organogram of the research team:

Roles and Responsibilities:

Team Member	Role	Responsibilities
<i>E.g. Mirabel Diaz</i>		
<i>E.g. Sue Zhang</i>		

9. Individual Availability Agreement

All individuals applying for the CN must sign this affirmation.

<i>I understand and acknowledge that by submitting this CN, my availability as a candidate for this research is active for 60 days from the date of submission, and I am able to dedicate the requisite level of effort to this scope of work until February 9, 2024.</i>		
Full Name	Date	Signature
<i>E.g. Mirabel Diaz</i>		
<i>E.g. Sue Zhang</i>		

10. Standards on Scientific Research Ethics

Scientific research integrity is defined as *“the adherence to professional practices, ethical behavior, and the principles of honesty and objectivity when conducting, managing, using the results of, and communicating about science and scientific activities. Inclusivity, transparency, and protection from inappropriate influence are hallmarks of scientific integrity.”*

As part of the work plan, the selected applicant will be asked to develop, in a 2-page written brief, an overview of the research team’s ethical framework for the project. The ethical framework overview should acknowledge authorship guidelines and state there is no concurrent research projects using USAID funds, in addition to the following:

- 1. Scientific methodology:** Researchers should adhere to rigorous scientific methodology in designing, conducting, and analyzing their research. This includes using appropriate controls, minimizing biases and confounding factors, and using valid and reliable measures to collect and analyze data. Researchers should also be transparent in reporting their methods and results, and make their data and materials available for critique and replication by others.
- 2. Informed consent:** Participants are informed about the purpose, procedures, and risks involved in the study, and provide their voluntary consent to participate.

3. **Privacy and confidentiality:** Measures are taken to protect the privacy and confidentiality of the participants, such as using anonymous or pseudonymous data collection methods and securing data storage and transfer.
4. **Respect for research participants:** Participants are treated with respect and dignity and their rights and welfare are protected. This includes ensuring that vulnerable populations are not exploited and that participants have the option to withdraw from the study at any time.
5. **Justice:** Researchers should ensure that the burdens of the research on participants are balanced fairly with the anticipated benefits of the research. Populations are not exploited or subject to unfair selection criteria.
6. **Scientific integrity:** Researchers adhere to high standards of scientific conduct, including honesty, transparency, and accurate reporting of data. This includes disclosing any conflicts of interest and ensuring that the research is not influenced by financial or other interests.
7. **Responsible conduct:** Researchers follow applicable laws, regulations, and ethical standards in conducting research, and seek approval from relevant research ethics committees or institutional review boards.
8. **Plan for author contributions and standards for authorship:** Researchers have a plan for author contributions to ensure that all anticipated authors have a substantial role in the research that is in alignment with Section 6 “Meeting Standards for Authorship” of the [USAID Scientific Research Policy](#).

At a minimum, the ethical framework will align with:

1. [USAID Scientific Research Policy](#), with special attention to Section 3. Quality standards; Section 4. Ethical Standards; and Section 6 subsection “Meeting Standards for Authorship”⁵
2. [USAID BHA Emergency Application Guidelines](#) Common Requirements Section 12.5 “Code of Conduct and Protection from Sexual Exploitation and Abuse and Section 12.6 “Accountability to Affected Populations” (Sections 12.5 and 12.6 are available [here](#))
3. [Declaration of Helsinki Ethical Principles for Research Involving Human Subjects](#)

USAID highly recommends that applicants consider the following resources when constructing their ethical framework:

1. Doing Global Science: A Guide to Responsible Conduct in the Global Research Enterprise” (2016) by the InterAcademy Partnership (IAP) (a free PDF is [available](#))
2. [USAID Gender Equality and Women’s Empowerment Policy](#)

In addition, the research team will include references to their own institution-specific policies, procedures, and/or practices in place that ensure technical quality, and research standards.

⁵ If these resources are updated, the research team should use the latest available version. USAID will make a best effort to provide the latest version as it becomes available.

Non-Disclosure Agreement (NDA)

I, _____, understand and acknowledge the following:

1. Access to External Party Confidential/Proprietary Information is a privilege. Unauthorized access, use for an unpermitted purpose, and or mismanagement of such information risk economic and strategic injury to the information owner and reputational harm and legal complications for Purdue University and me.
2. I understand that I am bound by the restrictions in confidentiality agreements shared as part of the Data Security Plan and am personally accountable for a breach caused by my negligence.
3. I will diligently preserve, safeguard and prevent unauthorized access, unpermitted use, and unauthorized disclosure, dissemination, or publication of External Party Confidential/Proprietary Information, whether physically or electronically. If specific measures of care are required in an applicable confidentiality agreement, I will also follow those measures.
4. I will only access External Party Confidential/Proprietary Information when I have a legitimate need and am authorized to do so.
5. I will limit my use of External Party Confidential/Proprietary Information to only the setting and purpose authorized by the owner of the information.
6. Prior to sharing External Party Confidential/Proprietary Information with any person, I will confirm that:
 - a. The confidentiality agreement permits sharing the information through me.
 - b. The recipient is an eligible recipient under the confidentiality agreement and has signed a Personal Acknowledgement form and the form is on file with the Information Owner, and,
 - c. The recipient understands the required measures of care and the permitted uses of the External Party Confidential/Proprietary Information.
7. In the event of discovery of any unauthorized access or use, use for an unpermitted purpose, theft, loss, or unauthorized disclosure of External Party Confidential/Proprietary Information in my care, I will report the details to the Information Systems Owner immediately
8. I will ensure all External Party Confidential/Proprietary Information is returned or disposed of according to the instructions of the information owner.
9. I understand that continued access to External Party Confidential/Proprietary Information will require continued training and certification.
10. Defend Trade Secrets Act notices:
 - a. An individual may not be held criminally or civilly liable under any federal or state trade secret law for the disclosure of a trade secret that is referenced in a report or complaint of a suspected violation of law that is made (i) pursuant to the University's Protection Against Reprisal for Good Faith Disclosures (Whistleblower Protection) Policy III.A.4, (ii) in confidence to a federal, state or local government official, directly or indirectly, or to an attorney, if such disclosures are made solely for the purpose of reporting or investigating a suspected violation of the law.
 - b. An individual may not be held criminally or civilly liable under any federal or state trade secret law for the disclosure of a trade secret in a complaint or other document that is filed under seal in a lawsuit or other proceeding.

- c. Further, an individual who files a lawsuit for retaliation by an employer for reporting a suspected violation of law may disclose the employer’s trade secrets to his or her attorney and use the trade secret information in the court proceeding if the individual: (a) files any document containing the trade secret under seal; and (b) does not disclose the trade secret, except pursuant to a court order.

I have read and understood the provisions listed on the previous page:

Signature:	
Name: Click here to enter text.	Date: Click here to enter a date.
Affiliated Organization and Title:	

Institutional Recusal Agreement

Date: XXX

To: XXX

From: XXX

Subject: Institutional/Individual Recusal Agreement – USAID/BHA Somalia RFSA Solicitations, FY 2024

This is to notify you that because [the Institution](#), its Affiliates⁶ and its employees may be seen to have a conflict of interest in matters affecting the [Institution](#) through participation in a sub-award under the “USAID/BHA/TPQ RFSA Activity Design Studies Buy-In”, it is expected that [Institution](#) and its Affiliates and its employees may not participate in any way as a prime or sub-awardee/subcontractor or otherwise in any matters regarding the United States Agency for International Development (USAID)/Bureau for Humanitarian Assistance’s (BHA) “Solicitations for Somalia Resilience Food Security Activities (RFSAs) in FY 2024” if it accepts a sub-award under the USAID/BHA/TPQ RFSA Activity Design Studies Buy-In program.

[The institution](#), its Affiliates, and its employees understand that the studies it will engage in producing, under the ‘USAID/BHA/TPQ RFSA Activity Design Studies Buy-In’, will inform the design of the BHA Somalia RFSA solicitations in FY 2024. It is further understood that in accordance with the principles of FAR Subpart 9.5 and USAID policy in [ADS 302.3.5.10](#), ‘the Awardee/Contractor shall be ineligible to furnish, as a prime or sub-awardee/subcontractor or otherwise, the implementation services for any activity that the Awardee/Contractor designed, unless the Head of the Awarding/Contracting Activity, in consultation with USAID’s Competition Advocate, authorizes a waiver (in accordance with FAR 9.503 and AIDAR 709.503), determining that preclusion of the Awardee or Contractor from the implementation contract would not be in the Government’s interest’.

By institutional and personal acknowledgment below, [the Institution](#) on behalf of itself, its Affiliates, and its employees is recusing itself from engagement in the BHA Somalia RFSA solicitations in FY 2024 RFSA if it is selected and accepts a sub-award under USAID/BHA/TPQ RFSA Activity Design Studies Buy-In program.

[Institutional](#) Acknowledgement:

Full Name and Title and Inst. Name:

Signed: _____

Date: _____

Individual Acknowledgement and Inst. Name:

Full Name and Title:

Signed: _____

Date: _____

⁶ “Affiliate”: means any entity which controls, is controlled by, or is under common control with another person or entity. For purposes of this definition only, “control” means (a) to possess, directly or indirectly (through one or more intermediaries), the power to direct the management or policies of an entity, whether through ownership of voting securities or by contract relating to voting rights or corporate governance, or (b) to own, directly or indirectly, more than fifty percent (50%) of the outstanding voting securities or other ownership interest of such entity.