

SERVIR– Himalaya Small Grants Programme



Grantee Handbook

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SERVIR–Himalaya Small Grants Programme, ICIMOD

Grantee Handbook

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1. Introduction

Welcome to ICIMOD’s SERVIR–Himalaya Small Grants Programme and congratulations for winning the award through a rigorous competitive process.

The purpose of this Handbook is to facilitate efficient implementation of the grant and to describe actions those must be taken to facilitate the compliances. Specifically, as ICIMOD is providing this Small Grant using USAID funding, it is necessary to ensure that the implementation procedures follow the regulations and policies of both ICIMOD and USAID.

Another purpose of this Handbook is to present information regarding the role of ICIMOD as the implementing agency for USAID funds. It is important that the grantees are thoroughly conversant with applicable rules and regulations for smooth implementation of the grant projects.

This Handbook presents only the most important tasks that must be completed during the implementation of the grant. ICIMOD encourages the grantees to discuss the contents of this Handbook with SERVIR–Himalaya Small Grants Team of ICIMOD. The grantees are also encouraged to maintain close communication with them throughout the implementation of the grant, discussing issues that might arise as activities progress.

Finally, it is important to recognize that the grant implementation will be carried out in accordance with the rules and regulations of the Grant Agreement that has been signed and the procedures presented in this Handbook.

2. Background

SERVIR is a unique combination of science, technology and development programmes established through a joint partnership between the United States Agency for International Development (USAID) and the National Aeronautics and Space Administration (NASA). SERVIR–Himalaya is one of the three hubs of the SERVIR programme and hosted at ICIMOD. The SERVIR programme covers multiple sectors related to international development and supports the objectives of the intergovernmental Group on Earth Observations (GEO) in the areas of agriculture, biodiversity, climate change, disasters, ecosystems, health, water, and weather. To achieve this goal, the SERVIR–Himalaya programme works to build the capacity of regional institutions in the Hindu Kush Himalayas

(HKH), including government and non-government organizations, universities and other key stakeholders, to integrate earth observation information and geospatial technologies into the decision-making process for sustainable mountain development, with a special focus on climate adaptation, vulnerability, or mitigation.

The overall objective of the SERVIR-Himalaya Small Grant Programme is to help expand the network of organizations, universities, and institutions in the HKH region and enhance the capacity for evidence-based decision making, and to generate innovative ideas for applying earth observation data and geospatial methods/tools for decision making in the Hindu Kush-Himalayan (HKH) region.

3. Initiating the Grant

The most important step that the grantees need to take before starting work is to review and sign several important documents, including:

(a) Grant Agreement: ICIMOD will provide two copies of the Grant Agreements; the grantees need to read the Agreement thoroughly, initial the lower right-hand side of each page and full signature on last page of each copy of the Agreement (or any other place as marked in the agreement) and return signed copies of the Grant Agreements to the SERVIR-Himalaya Small Grants Team. ICIMOD Administration will sign the agreement and send back one original copy to the grantees.

(b) Guidance for USAID Procedures: These requirements are applicable to Non-US and Non-governmental NGOs when they receive funding from USAID (Appendix A).

(c) Milestone certification and payment request form: The purpose of this certification form is to certify that all deliverables listed under the implementation and milestone delivery schedule (Annex 2 of the grant agreement) have been completed and a voucher for payment is being submitted to get reimbursed for the activity/milestone. (Appendix B).

3.1 Certifications and Assurances:

The grantees are required to comprehend and comply with the following Certifications and Assurances those were signed/will be signed by the grantee organizations prior to award of the grant:

(a) Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals: By signing this certification, the grant recipient gives ICIMOD/ USAID rights to terminate this Agreement or to take other appropriate measures (including seeking refund) if the grantee is found to have been convicted of a narcotics offense or engaged in drug trafficking. The grantee must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants (Appendix C1).

(b) Certification on Terrorist Financing: By signing this certification, the grant recipient certifies that, to the best of its knowledge, it did not provide, within the last ten years, any material support or resources to any individual or entity that associated or participated in terrorist acts as defined by the US government. The grant recipient will take all reasonable measures to ensure that it does not and will not knowingly engage or finance in any terrorist activities (Appendix C2).

(c) Certification of Recipient: This document states that the grantee has received the certifications above and assures they are correct.

(d) Key Individual Certification Narcotics Offenses and Drug Trafficking: By signing this assurance the grant recipient certifies that “key staff” has not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances. In addition, the grant recipient has not been an illicit trafficker in any such drug or controlled substance and has not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance (Appendix C3).

(e) Participant Certification Narcotics Offenses and Drug Trafficking: This certification is similar to the above but refers to any “participants” of the grantee organization.

(f) Other Statements of Recipient: The purpose of this statement is to provide applicable information such as tax ID numbers and procurement plans. If the information does not apply to a particular grant, it does not need to be completed (Appendix C4).

(g) USAID Guidelines and Standard Provision Checklist: This checklist in Appendix D summarizes all the other Applicable Standard provisions for Non- U.S, non governmental recipient as determined by the applicability statement in accordance with USAID regulations. When a standard provision is determined to be applicable in accordance with the applicability statement of the grant, the use of such provisions is mandatory unless a deviation has been approved in accordance with relevant USAID regulations. The grantees are required to go through this checklist along with the SERVIR-Himalaya Small Grants Team for the applicability of this checklist, mark against applicable provisions and sign at the bottom of the document (Appendix D).

4. Understanding the Approved Budget

The approved budget in milestone format represents actual milestone costs of goods and services required to successfully implement the grant. Since this is a Fixed-Obligation Grant, the agreement is such that even if the price fluctuates over the course of this program, the activity must be completed within amounts as agreed upon during award negotiation.

It is recognized that as the programme is being implemented, needs might change which can either extend the time or resources allocated with each milestone or the grant in its entirety. If such circumstances arise, the grantees need to work closely with the SERVIR–Himalaya Small Grants Team to discuss budgetary constraints and the team will be able to help provide guidance on the formal grant modification process. (Please refer section 5 for more details on grant modification process).

4.1 Policies on Expenditures

All expenditures incurred under this grant must adhere to ICIMOD and USAID policies and regulations, including:

- USAID funds cannot be used for payments to institutions associated with or individuals employed by security forces (i.e. the military and police) or to any government officials during working hours, including salaries, honoraria, transport, and lodging. Government officials can only be paid after ICIMOD receives written confirmation from their respective government office that they are not being paid by the government for the days worked on tasks in this grant (and provided for in the grant budget) and that the work to be done is outside of the official's normal duties.
- USAID funds can be used for payments to persons working at recognized academic institutions for "intellectual products," such as acting as a facilitator, resource person, or researcher.
- Under USAID regulations, certain items are described as "restricted goods." These items include vehicles, agricultural commodities, pharmaceuticals, pesticides, fertilizer, used equipment, and U.S. government-owned excess property. The grantee may not procure any of these items using USAID funds without a waiver from USAID. Should any grantee requires such a waiver, ICIMOD will complete the waiver process for the grantee. If there is any confusion about whether an item is restricted, please consult the SERVIR–Himalaya Small Grants Team. Purchasing a restricted good without a proper waiver will result in disallowance of the cost of the restricted good.
- Under USAID regulations, certain items are described as "ineligible goods." These items include military equipment, surveillance equipment, police and law enforcement equipment, abortion equipment, luxury goods, gambling equipment, and weather modification equipment. USAID funds cannot be used to procure such items under any circumstances and any costs claimed will be disallowed.

Frequent coordination and communication with the SERVIR–Himalaya Small Grants Team will help the grantees avoid any unwanted issues related to expenditures.

4.2 Procurement and Payment Guidelines

During grant implementation, grantee organization will be responsible for procuring the goods and services listed in the approved budget. All expenditures must not exceed amounts stated in the budget. It is critical that the grantees seek the best cost for all items they procure— they have to be certain to make comparisons of the prices and quality of goods or services offered by vendors and considering the timeliness with which vendors can deliver goods or services. The grantee must carefully document the steps taken to secure the best price and quality for each item or service procured, to ensure compliance with USAID procurement rules and regulations.

Requests for payments and milestone certification and deliverables as listed in the Grant Agreement must be sent to the SERVIR–Himalaya Small Grants Team (Appendix B). It is important that the grantees discuss the schedule of payments and reporting requirements with the SERVIR–Himalaya Small Grants Team to avoid any unforeseeable delay with the payment that can disrupt cash flow in the project.

ICIMOD requires at least 10 working days to review, approve and process requests for payment or reimbursement.

5. Making Changes to the Grant Agreement

All funds received under this Grant Agreement must be used to procure goods and services as presented in **Fixed Obligation Grant** budget template as well as according to the approved workplan (Annex 2 of the grant agreement). It is important that the following provisions are clearly understood by the grantees:

- ICIMOD will not pay anything exceeding the approved milestone amounts and the implementation period cannot extend beyond the period stated in the Grant Agreement. Furthermore, the grant activities must be completed within the end day of the overall grant period and the total obligated amount.
- The SERVIR–Himalaya Small Grants Team conducted a thorough pre-award cost analysis and budget review to minimize the need for amendments and extensions. In all cases, the grantee will be responsible for all costs associated with the procurement of items not listed in the approved budget or which occur before or after agreed grant implementation period.
- If clearly justifiable reasons exist, the grantee may present a formal written request to the ICIMOD (SERVIR–Himalaya Small Grants Team) to amend the Grant Agreement budget or to extend the Agreement end date. ICIMOD management and in some cases

DAI/ USAID must approve in writing all changes to the Grant Agreement for them to be official.

6. Copyright and Reproduction:

- Items that the grantees develop using funding under this grant programme cannot be sold without prior written approval of ICIMOD. Should approval for sales be provided, all money received must be used to fund future activities (i.e, not received as profit for the organization or individuals involved).
- ICIMOD and USAID reserve the right to determine the final use of all materials remaining with the grantee at the end of the Grant Agreement period, including all construction materials, books and printed matter.

The grantees shall retain ownership of any goods, copyrighted materials and patents developed through grant-funded activities. ICIMOD and USAID retain the right to continue free use of any goods, copyrighted materials and patents developed through grant-funded activities.

Grant Agreement can be reviewed for more information in this regard.

7. Communicating About the Grant

This branding guideline provides information on how to communicate about the grant/project, including the specific branding requirements of SERVIR-Himalaya, USAID, NASA and ICIMOD. As ICIMOD is hosting and implementing SERVIR-Himalaya initiative, its logo should be placed prominently alongside other agencies’.

Branding and marking plan should be clear as to how many and what type of media materials and events are to be produced under the project. The grantees are requested to review the materials included in the communications toolkit prior to completing the branding and marking plan.

7.1 Media and Other Policy Guidelines

The toolkit provided to the grantees includes:

- Specifications for Logos
- Branding Guidelines
- Communications Overview (detailing key audiences and messages)
- SERVIR Marketing Materials

7.1.1. Specification for Logos:

The logos of the agencies associated with the grant programme should always appear in their entirety and without distortion. The grantees need to make sure that the logos are

reproduced only from original reproduction proofs, which will be provided to the grantees by ICIMOD communications team. Logo usage guidelines are provided in the communication toolkit. For any queries, the grantees are requested to contact the SERVIR–Himalaya Small Grants Team.

7.1.2. Branding Guidelines

As noted in the Grant Branding and Marking Plan, prior approval of ICIMOD is required for any public acknowledgement of the grant, use of name and logo of SERVIR–Himalaya and agencies associated with it. This pre-approval is necessary to ensure accurate portrayal of the SERVIR programme and its grant projects and to allow ICIMOD to respond effectively to any inquiries directed to ICIMOD. The grantees are requested to provide any such planned announcement to ICIMOD at least **two weeks** before its intended release so that there is required time to review it. Branding guidelines for each agency are included in the communication toolkit.

7.1.3. Communications Overview

The communications overview of SERVIR provides general information about the SERVIR programme, its goals, key stakeholders, and the hubs. It also includes information on key audiences of SERVIR, as well as communication objectives and possible strategies to be used. It will assist grantees in articulating key messages about the project outcome and identifying target groups for the project.

7.1.4. SERVIR Marketing Materials

The SERVIR Product Catalogue included in the communications toolkit provides information on SERVIR activities. Brochures are also available at <http://catalogue.servirglobal.net/>

7.2 Disseminating Information about Project Outcome via Media

When communicating with target audiences (the “Communications Overview” provides a sense of SERVIR audiences), grantees are encouraged to acknowledge SERVIR’s support by mentioning the SERVIR programme in the list of funding sources. The grantees are requested to include the following text in the first or second paragraph of any written communication regarding the grant project:

The xxx project is funded by SERVIR, a regional visualization and monitoring system that integrates earth observations such as satellite imagery and forecast models, with in situ data and other information for timely decision-making. SERVIR is a joint initiative of USAID (United States Agency for International Development) and NASA (National Aeronautics and Space Administration). SERVIR–Himalaya is implemented in partnership with ICIMOD and

works towards establishing itself as a regional resource centre in the Hindu Kush Himalayan (HKH) region by developing relevant geospatial applications, and increasing access to data and decision-support tools on different thematic areas.

7.3 Promoting the project on the web

To help promote the project on the web, the grantees are requested to send ICIMOD the links to websites including social media sites those provide information about the organization, its activities and the grants projects.

7.4 Developing Success Stories

Success stories are crucial for keeping the funding agencies informed about the positive changes brought about by their contributions. They capture how project activities have benefited communities in the project area. Written in simple language with first-hand accounts and quotes, a good success story also contains figures and statistics that reflect progress. Success stories can be about programmes, projects, or activities that have had proven results and measurable impacts. Measurable impacts might include, for example, the number of people warned of impending frost or flood, or tangible changes in the economic situation of community members.

Templates for success stories can be found under the heading ‘Transforming Lives (Telling Our Story)’ at the following link: <http://www.usaid.gov/branding/templates>.

8. Reporting

As grant activities progress and draw to a close, it is important that we learn about the output and impact of our work. Reporting on grant activities and the use of grant funds facilitates this learning process and ensures that the agencies involved might replicate best practices in other areas.

8.1 Activity Progress & Log-frame Indicator Achievement Reporting

Technical progress report and log frame indicator achievement reports must be submitted in accordance with the requirements and schedule set forth in the Grant Agreement.

8.2 Training/ Workshop Events Reporting

If the Grant Agreement includes specific training/ workshop activities, a Training Report must be submitted according to the deadline stated in the milestone schedule. The report should be brief and concise, capturing achievements and objectives of the training, daily participant attendance sheet and the full agenda (Appendix F).

8.3 Other Reporting Requirements

The grantee may be asked by ICIMOD to submit periodic reports in response to specific requests by and requirements of USAID. SERVIR-Himalaya Small Grants Team will communicate the grantees accordingly.

8.4 Final Grant Report

The Grant Final Report must be submitted no later than 15 days after the completion of grant activities. The report should present (not limited to) methodology, findings, achievements measured against objectives and deliverables.

After all activities are complete and all reports have been delivered to and approved by ICIMOD, the grantees need to sign and return the final milestone and voucher for payment certification **along with a final close out letter** to the SERVIR-Himalaya Small Grants Team. The SERVIR-Himalaya Small Grants Team will provide with a final close out letter prior to close out of the grant.

9. SERVIR-Himalaya Small Grants Project Contact

In case of any queries or any issues regarding project implementation, the grantees are requested Please contact the SERVIR-Himalaya Small Grants Team by e-mail or phone through the following contact point.

Name: Dr. Mir Matin
SERVIR-Himalaya Demand Component Coordinator

10. Appendices

- A. Guidance for USAID Procedures
- B. Milestone certification and payment request forms
- C1. Prohibition on Assistance to Drug Traffickers for Covered Countries & Individuals
- C2. Certification on Terrorist Financing, Implementing Executive Order 13224
- C3. Key Individual Certification Narcotics Offenses and Drug trafficking (Part II and III)
- C4. Other Statement of Receipt
- D. Standard Provisions Checklist
- E. Training/ Workshop Event Report Form
- F. Activity Progress & Log-frame Indicator Achievement Reporting
- G. Acceptance of Guidance Form