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TRANSITION INITIATIVES FOR STABILIZATION PLUS (TIS+) PROGRAM

POOL OF IN-KIND ACTIVITIES (PIKA) MANUAL

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TRANSITION INITIATIVES FOR STABILIZATION PLUS (TIS+) PROGRAM

POOL OF IN-KIND ACTIVITIES (PIKA) MANUAL

Submitted to:

USAID | Somalia

Prepared by:

AECOM International Development

DISCLAIMER:

The authors' views expressed in this document do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS

| | |
|------|---|
| AMT | Activity Management Teams |
| BOQ | Bill of Quantities |
| BPA | Blanket Purchase Agreement |
| CFR | Code of Federal Regulations |
| COP | Chief of Party |
| CO | Contracting Officer |
| COR | Contracting Officer's Representative (USAID) |
| CSV | Comma Separated Values (File) |
| DCOP | Deputy Chief of Party |
| DDGS | Direct Distribution of Goods and Services |
| EMMP | Environmental Mitigation and Monitoring Plan |
| ERF | Environmental Review Form |
| ERR | Environmental Review Report |
| ESR | Environmental Screening Form |
| FAM | Finance and Administration Manager |
| FS | Finance Specialist |
| GUC | Grants Under Contract |
| IQC | Indefinite Quantity Contract |
| LOC | Letter of Commitment |
| M&E | Monitoring and Evaluation |
| MEO | Mission Environment Officer |
| NGO | Non-Governmental Organization |
| OM | Operations Manager |
| O&M | Operation and Maintenance |
| PF | PIKA Form |
| PAS | Program Activity Specialist |
| PDO | Program Development Officer |
| PIKA | Pool of In-Kind Activities |
| PLO | Procurement and Logistics Officer |
| PMU | Program Management Unit |
| PO | Purchase Order |
| PS | Procurement Specialist |
| SAO | Senior Activity Officer |
| SE | Senior Engineer |
| STTA | Short-Term Technical Assistance |
| TIS+ | Transition Initiatives for Stabilization Plus |
| USG | United States Government |

INTRODUCTION

The process by which Transition Initiatives for Stabilization Plus (TIS+) implements in-kind activities, not simply the activities themselves, is critical to employing core programmatic principles and achieving the four program objectives. Throughout the activity cycle, **inclusive participation** will be a key feature of activity design, development, implementation, monitoring, quality control and assurance, and close-out. Consensus groups and community and governance leaders will create consensus-based Stabilization Plans or Bridging Plans to form the basis of many of the Objective 1 and Objective 2 activities and grants. This ongoing planning process will not only generate activities, but will **build consensus, form collaborative partnerships, and foster trust** amongst those engaged in the process. Successful implementation of grants stemming from these plans will encourage local actors to participate in order to leverage available resources for their community. These same local actors will take part in the **community contracting process**, assist in monitoring activities and reporting on progress, and will ultimately take ownership of community assets and events. The close-out and handover phase for each activity will take into account specific opportunities for enhancing **Somali ownership**.

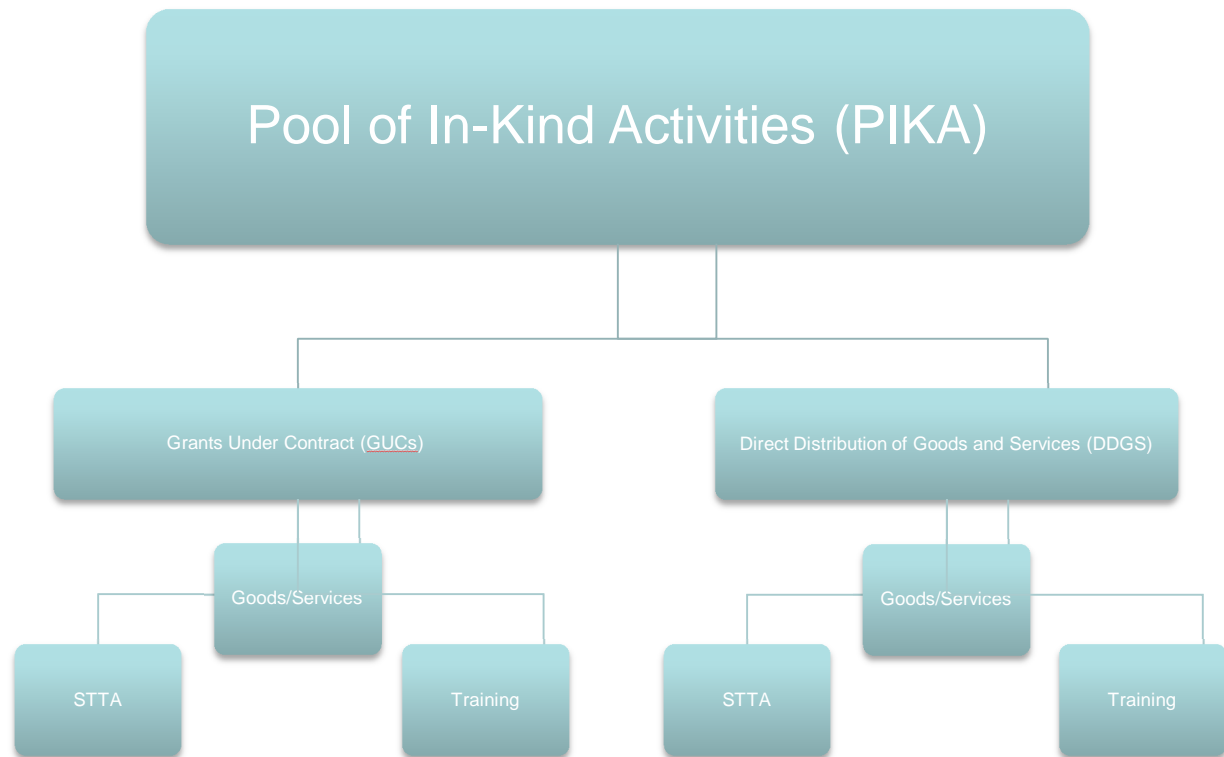
Gender considerations will be incorporated into activities as appropriate and feasible. Sociocultural and reconciliation activities will reinforce those generated as part of community plans where possible. The program will integrate strategic communications and messaging activities to engage communities with governments in both directions, to encourage / enhance accountability and amplify TIS+ impacts. The collaborative and consensus-based approach to the PIKA activity cycle (see Annex 1) will foster **transparency and accountability**, through its consistent and inclusive incorporation of the community throughout each phase of the grant design, implementation, monitoring and completion.

AECOM's grant making process is grounded in an understanding of USAID's desire to maximize the amount of TIS+ funds directly benefitting communities and building capacity for good governance at district, regional, administrative areas and at the Federal level, while ensuring compliant implementation and careful stewardship of U.S. Government (USG) resources. TIS+ places Somali citizens, government, and their accountability relationships at the forefront of grant implementation. These efforts will be complemented by an engagement between legitimate civil society and the private sector, with support from AECOM and TIS+ subcontractors to ensure accountability and compliance. The technical assistance (STTA) in-kind mechanism will be employed when appropriate under either a grant or as under direct distribution of goods and services (DDGS).

This Manual outlines the process AECOM will follow to ensure that implementation of all TIS+ activities embody these principles and contribute concrete progress towards objectives. The Manual and corresponding TIS+ Database and the AECOM proprietary secure 'One Source' Information Management system serve as TIS+ management tools for documentation, approval, and reporting. Key elements of the Manual are the Pool of In-Kind Activities (PIKA) Cycle Flowchart and templates and instructions (Annex 2) to guide the TIS+ team through the Activity Cycle. This Manual will ensure that implementation of all PIKA grants complies with AECOM policies and procedures and applicable USG regulations. The TIS+ team will regularly review the manual and, in coordination with USAID, modify it as needed to address changes in regulations and to incorporate lessons learned through program implementation.

POOL OF IN-KIND ACTIVITIES (PIKA)

The PIKA refers to the collection of TIS+ activity implementation modalities including Grants Under Contract (GUCs) and Direct Distribution of Goods and Services (DDGS), both of which can incorporate Short-Term Technical Assistance (STTA) and Training. **Each of these modalities will always be implemented using the PIKA processes and procedures.**



The activity concept as well as the type of activity proposed will be discussed with the COR in the Pre-Yellow Light phase and will be documented in the TIS+ Database when the activity receives yellow-light approval (pending) status. PIKA ideas can be initiated according to the following activity / grant categories and related modalities:

1. **Consensus-Based Plans in Support of Objective 1:** Through the consensus model, described in Objective 1, the Program Development Officers (PDOs) and/or subcontractors support inclusive Consensus Groups in identifying and prioritizing activities to create a Consensus-Based Plan that responds to an agreed stability assessment. The planning process will begin with community mapping and asset inventorying; generating goals, objectives, and activities; and prioritizing activities. At the community level, expert facilitators and/or subcontractors engaged by TIS+ under PIKA subcontracts will support the PDO as needed. This planning process will take place on a rolling basis. Once activities generated via the consensus building process have been prioritized, they will move into the Pre-Yellow Light Phase described in the Activity Cycle. Assistance that directly supports the successful implementation of Consensus-based Plans or the development of activities within these plans will also constitute PIKA within this category.
2. **Bridging Plans in Support of Objective 2:** Through the consensus model, the PDOs along with subcontractors and STTAs as needed, support consensus groups, in close coordination with the corresponding level of government, in creating a Bridging Plan. The planning process will begin with discussing medium- to longer-term development goals and identifying activities that will lead to the achievement of these goals. At the community, district or regional level, expert facilitators and/or potential subcontractors engaged by TIS+ will support the deeper development of the Bridging Plan as needed. Other activities generated would support identifying and acquiring Bridging Plan funding. This planning process will take place on a rolling basis. Once activities have been prioritized, they will move into the Pre-Yellow Light Phase described in the Activity Cycle. Assistance that directly supports the successful implementation of Bridging Plans

and/or the development of activities within these plans will also constitute PIKA within this category.

3. **Social Reconciliation and Sociocultural Activities in Support of Objective 3 or Supplementing Other Activities:** TIS+ will support a range of social reconciliation and sociocultural activities across Somalia. These activities are designed to contribute to positive reconciliation outcomes in communities, and to support social cohesion and community ownership of TIS+ initiatives. Traditional Somali cultural forms of expression will be integrated into many Objective 3 activities. Activities will include social reconciliation and trauma healing, arts and cultural events, peace messaging, sports and other youth focused initiatives. In addition, these types of activities can be used to directly bolster participation in, legitimacy and accountability of components included in Objective 1 and 2 plans. TIS+ may also support creation of Dialogue Groups comprising elders, women, youth, religious leaders, business persons, and sub-clans in partnership with Consensus Groups and Peace Committees. In order to enhance community cohesion, these Dialogue Groups or other components of the community may be supported by TIS+ to increase engagement on reconciliation through Objective 3 activities. Assistance that directly supports these types of cross-cutting activities and/or the development of these activities will also constitute PIKA within this category.
4. **Gender Equality, Sensitivity, and Women’s Empowerment Activities in Support of Objective 4 or Supplementing Other Activities:** Activities or assistance supporting the creation and implementation of the TIS+ Gender Equality and Women’s Empowerment Plan at different levels will form the core of activities supporting this objective. In addition, activities and assistance to train TIS+ team members, facilitators, government counterparts as well as community members, in gender sensitivity and allow TIS+ to incorporate a “gender sensitive lens” into most programming components will fall into this category. PIKA may be generated by community stakeholders including government counterparts, TIS+ or USAID staff.
5. **Communications Activities:** Activities or assistance supporting the communications and messaging components of activities in the above categories as well as the development and implementation of communications plans will comprise this set of activities. In addition, activities and assistance to train the TIS+ team, government counterparts, civil society as well as community members, in communications and messaging will be prioritized to allow TIS+ to incorporate strategic communications throughout all programming. PIKA may be generated by community stakeholders, government counterparts, TIS+ or USAID staff.
6. **Resource Support for Community Implementation:** In order to encourage community ownership, TIS+ will support community-implemented activities through the provision of goods and services necessary to supplement activities planned or led by communities. PIKA will be generated by community stakeholders or as a supporting component to more complex activities.
7. **USAID Mission Priorities:** Activities that support key USAID mission priorities can be implemented even if they fall outside those generated through the consensus model, proposed by community stakeholders, including government counterparts, or that provide technical or other support to activities. These PIKA primarily using the DDGS modality will be generated directly from the COR.

PIKA CYCLE

USAID and TIS+ staff work closely as a team, jointly discussing areas of geographic and or thematic focus, activity concentration and programmatic approaches, guided by community-generated plans and priorities, as well as by Somali government stabilization priorities. These discussions will be held through both informal and formal mechanisms, with a review of evolving stabilization plans being held at regular intervals throughout the program. These periodic reviews will be essential to establishing an ongoing

dialogue regarding pre-yellow light activities, joint understanding of the PIKA pipeline, and detailed knowledge of progress and priorities at the community level.

AECOM staff will prepare for PIKA implementation by supporting the formation of Consensus and Dialogue Groups and actively identifying local partners and grantees, developing activities, and engaging in the consensus-based community planning process. The team, often supported by STTA, subcontractors and government counterparts for effective PIKA implementation, will enter information in the TIS+ Database, monitor and evaluate PIKA implementation in conjunction with community stakeholders, review performance per agreed upon responsibilities, and ensure that the database is updated with information as PIKA implementation progresses.

AECOM's Chief of Party (COP) and/or Deputy Chief of Party (DCOP) will review all community plans and proposed PIKA including those proposed by government counterparts before submitting them for COR review and subsequent PIKA clearance. The COP and/or DCOP will ensure the PIKA submissions are consistent with all USAID policies and procedures in line with the approved TIS+ PIKA Manual as well as with TIS+ objectives. Final PIKA approval (Green light approval) is required by the COR up to a threshold of \$250,000. Any PIKA exceeding this threshold must receive CO approval. PIKA that contain any subcontracts requiring consent to CO subcontract per FAR 52.244-2 must be approved by the CO prior to entering into the subcontract.

AECOM uses the PIKA Database to develop activities and process the clearance for all PIKA. The COR will be provided with all required documentation to facilitate timely approval process for PIKA. AECOM is responsible for implementing PIKA according to the time frame authorized in the PIKA approval, unless otherwise approved by the COR, through a PIKA modification. AECOM staff and local partners are required to implement in kind GUCs and DDGS, both of which may include STTA and Training, according to the qualities and quantities approved in the PIKA approval form and the approved PIKA budget.

AECOM staff members (supported by subcontractors) are responsible for monitoring PIKA for technical and programmatic soundness. They will evaluate each PIKA according to whether it has met the objectives and if/how it contributed toward the relevant USAID Somalia Office strategy and program objectives. Local stakeholders will also be actively engaged in monitoring and evaluation processes. AECOM staff and the Activity Management Teams (AMTs) are required to regularly use the TIS+ Database to record monitoring of grants implementation progress and/or challenges. Activity notes for PIKA in approved and completed status will be regularly updated.

PIKA Pre-Yellow Light. All PIKA ideas (Objectives 1 to 4) will commence in this phase. Under Objective 1, after priority community activities are identified through the consensus process and TIS+ has supported communities in undertaking joint community and government design, a Consensus-based Plan or a cluster of activities / possible grants will be presented and discussed with the USAID stabilization team for general agreement on moving forward with the specific ideas into the yellow light / pending status. This complex and inclusive process undertaken with appropriate government counterparts will often be completed under a PIKA itself. Under Objective 2, Bridging Plans developed with a range of stakeholders usually led by external facilitation or subcontractors under a PIKA will be submitted for concept concurrence with a focus on (1) activities designed to encourage investment in and finance of Bridging Plan activities and (2) activities included for program implementation within these plans. Any changes to Bridging Plans made by consensus groups and government counterparts during TIS+ engagement will be reviewed with the COR. This process will ensure that USAID is kept abreast of evolving priorities and progress and importantly, will minimize occurrences of rejected activities and ensuing community and government counterpart discontent / mistrust. Once activities enter the Yellow Light Phase, there should be very few if any that are contested because priority activities will have been

reviewed as concepts in the Pre-Yellow Light phase. All PIKA concepts or clusters of PIKA falling in Activity Categories 3-7 (described above) will also be reviewed in this phase. This review process will be a feature of the regular USAID – AECOM TIS+ program meetings, expected to be weekly or as needed.

PIKA Yellow Light (Pending). The AECOM TIS+ team will prepare a PIKA Form (PF) (see Annex 3) and an associated budget for submission to the COR for yellow light approval. Once the COR has yellow lighted an activity, the Senior Activity Officer (SAO) or DCOP will designate it as ***pending*** and assign a PIKA code, the nomenclature of which has been agreed with the COR during the design of the PIKA Database.

Effective collaboration between the PDO and Procurement Specialist (PS) positions ensures that PIKA are well-designed, effectively implemented, and adequately monitored. Once a PIKA idea is pending, the PDO leads the process of grant development, clearly defining why the PIKA is important and relevant. The PDO organizes meetings or teleconferences for those not represented in Nairobi, Mogadishu, or Hargeisa, with the awardee and/or beneficiaries to further develop the concept and make decisions as to the materials, services and costs required to successfully implement the activity. Once the PIKA design and draft budget are defined, the PDO is responsible for writing the PIKA into the database and sending the CSV to the SAO and/or the DCOP for review.

The DCOP and/or the SAO will work with the PDO to further develop the PIKA narrative if needed, including background, justification, conflict sensitivity, objectives, branding and marking, communications and coordination, anticipated cost share, and awardee responsibilities. The DCOP and PDO also will coordinate with the Monitoring and Evaluation (M&E) Specialist on developing M&E plans, targets, and indicators. All relevant PIKA documentation, including the timeline, GPS coordinates, Environmental Screening Forms (ESF), Environmental Review Forms (ERF) and Environmental Review Reports (ERR) as needed, a map and the PIKA budget will be uploaded to One Source and linked into the database by the SAO.

Once the SAO has assessed worthiness and compliance with the PIKA Manual procedures, s/he will seek DCOP input and approval. Start and end dates will be included that maximize the time expected for the PIKA to be fully completed including any retention periods for construction components, as well as the official disposition of assets to recipients/beneficiaries that will come from the CO. A change of end date for approved PIKA to accommodate these two factors should be done by AECOM through notification to the COR, but without requiring a specific PIKA amendment and COR approval. The COP will make any final revisions and submit the request to the USAID COR for green light approval (cleared status) via the TIS+ Database as well as submission of all required documentation in hard copy or via One Source. Once the COR reviews and finds the PIKA documentation acceptable, the COR (or ACOR as needed) will sign the PIKA Approval form, “clearing” the activity. If the PIKA is rejected for any reason, the team will inform community stakeholders immediately and work with them to develop an alternative PIKA.

PIKA that are infrastructure focused will require additional steps to insure a smooth and effective process. The Operations Manager (OM) and his team will cost the activity, develop a detailed budget, and work with the DCOP and SAO to determine potential training or capacity building requirements. It is expected that whenever possible, the costing of specific activities may be accomplished in conjunction with the consensus building process. If the PIKA involves rehabilitation or new construction of infrastructure, the Senior Engineer (SE) supported by STTA or subcontractors, as needed, will submit preliminary designs, specifications, and Bills of Quantities (BOQ). Rehabilitation will be prioritized whenever feasible and realistic. Appropriate environmental compliance requirements for PIKA with construction components will start to be addressed at this stage but completed only after the PIKA is approved by the COR.

Under the guidance of the OM, the Contracts Specialist will develop and manage an efficient and competitive procurement mechanism, making use of Requests for Quotations (RFQ), Requests for Proposals (RFP) Indefinite Quantity Contracts (IQCs) or Blanket Purchase Agreements (BPAs) as appropriate. Final engineering and budget-related documents will be submitted to the COR in the green light phase, to ensure a dynamic pipeline and judicious use of engineering and procurement assets. However, these departments will be fully integrated at the yellow light (pending) phase, beginning with creating the draft documents, and will continue work on finalizing these in anticipation of green light approval to avoid any delays in implementation. TIS+ expects to utilize a modular and standardized approach to new infrastructure design and construction, to fast track costing, procurement and facilitate high quality, consistent infrastructure rehabilitation or construction.

PIKA Green Light (Cleared). Once the activity has been approved (cleared) by the COR, the SAO will update the PIKA Database and all PIKA planning and procurement documents will be finalized and uploaded to One Source for secure documentation management purposes. AECOM may also procure the architectural and engineering services of a local firm, with the required staff and in-country resources to carry out comprehensive environmental compliance assessments, designs, and quality assurance and control measures for more complex projects as well as determine actual costs and implementation timelines, and prepare a complete tender package at this phase. Prior to awarding any infrastructure subcontracts, AECOM will submit all appropriate design drawings, BOQs and environmental review forms to the TIS+ COR for review and clearance by USAID. AECOM will not enter into subcontracting agreements for infrastructure works ahead of COR approval on the technical aspects. In the event of subcontracts requiring consent to CO subcontract per FAR 52.244-2, AECOM will request consent to subcontract from the CO in advance of entering into subcontracts.

Environmental Compliance

AECOM will ensure that PIKA are compliant with the environmental requirements set forth by the contract, 22 CFR 216 and outlined in the TIS+ Environmental Mitigation and Monitoring Plan (EMMP). During the concept development phase, the Somalia-based PDO will use the Screening Review Form (Annex 6) to screen proposed concepts for potential negative environmental impacts. The SAO will ensure that environmental screening of PIKA concepts is conducted and verify that the activity is not High Risk¹.

Following PIKA approval, the PDO and/ or Engineer will prepare the Environmental Review Form (ERF) using the template in Annex 6, with oversight provided by the SAO. Where warranted, the ERF will include a PIKA-specific EMMP, drawing on the mitigation measures provided in project-wide TIS+ EMMP. Other mitigation measures may also be added, depending on the specific nature and potential impact of the activity. This is especially relevant for irrigation and road rehabilitation activities, for which impact and mitigation measures are highly dependent on local conditions.

Once the ERF is prepared, the COP will submit it to the COR for internal USAID approval prior to PIKA implementation. Following approval by the USAID Mission Environment Officer (MEO) and the receipt of this approval by AECOM, the PDO will review the required environmental mitigation measures with the stakeholders, beneficiaries, and project staff at the kick-off meeting. The SAO and PDO will evaluate whether stakeholders and staff have the required skills to implement the mitigation measures and where needed, provide training or targeted STTA. While not responsible for the EMMP, the M&E officer will

¹ High Risk Activities require a Deferral from USAID or are not recommended for funding, as determined by the USAID Mission Environment Officer.

also be advised of the environmental monitoring schedule, as an added insurance measure to help keep environmental monitoring on track.

During PIKA implementation, the PDO and/or Engineer will be responsible for implementing the mitigation measures identified in the ERR, and monitoring to ensure that they are effective at minimizing or eliminating negative environmental impacts. Examples of environmental best practices may be captured as a snapshot and disseminated as lessons learned. The PAS will support EMMP implementation and document environmental monitoring results. He/she will also submit monitoring results with annual project reporting documentation as necessary.

Letters of Commitment (LOC) and Community Planning Processes

The COP or designee will sign a Letter of Commitment (LOC) with the relevant local, regional, and/or national authorities and consensus groups for all community and district based PIKA, outlining each party's roles and responsibilities, contributions, and required certifications. These entities will be actively involved in design, implementation and monitoring of activities. This involvement will begin publically through AMT collaboration with Consensus Groups and other stakeholders to organize a public ceremony announcing the signing of the LOC and official launching of the activity. All procurement, including construction activities, will be carried out according to the TIS+ community contracting process. This process involves selected or elected representatives of the Consensus group to be directly involved in the review of BOQs, infrastructure design, budgeting and the opening and ultimate award of subcontract agreements. AECOM will have the lead role in organizing these functional components of the community contracting process, and provide the legal framework and signatures for contracts, but the community will be aware of and participate in negotiations on agreed benchmarks, as well as being aware of overall subcontract costs. This has proven effective in addressing and mitigating against potential conflicts of interest, nepotism and corruption in the contracting processes. Community involvement contributes towards accountability for not only the contracting process, but also for the construction monitoring process and the release of payments based on designated benchmarks.

The OM will oversee procurement, working with the Contracts Specialists and the Procurement and Logistics Officer (PLO), utilizing the most efficient mechanism to manage procurement (subcontract, purchase order [PO], IQC, or BPA). Local or regional STTA for health, education, engineering, or other expertise may also be engaged under the PIKA to advise on procurement, provide on-site monitoring, and/or train beneficiaries.

The SAO will ensure that all PIKA strictly adhere to established PIKA implementation, management, monitoring, evaluation, and reporting procedures and will work closely with the M&E Specialist, bringing in appropriate technical assistance if required. The SAO will coordinate with the PAS and community stakeholders to schedule announced and unannounced site visits. The OM and Contracts Specialist will ensure well-developed progress milestones, delivery schedules, quality standards, environmental mitigation factors, reporting requirements, and payment procedures are built into all procurements. The SAO will upload the budget, timeline, and deliverables schedule to the TIS+ Database / One Source folders and firmly manage and monitor the process. Appropriate documents will also be made public through the community monitoring committee. The SAO will liaise with the M&E Specialist, PAS, and oversight committee members to gather, analyze, and report data and assess progress towards activity indicators, updating the database regularly (at least bi-weekly) with activity notes to reflect this.

The PDO convenes a kick-off meeting in-person or via teleconference with the recipient/beneficiary representatives. Following PIKA kick-off, the PAS is charged with implementing the cleared PIKA in conjunction with the recipients/beneficiaries. The PAS serves as the day-to-day interlocutor with the

recipients/beneficiaries. For example, the PAS works with the recipient/beneficiary representatives to develop specifications required for items to be procured and a schedule for when and where procured items need to be delivered to allow the PIKA to be efficiently implemented. The PDO works closely with the PLO to ensure the correct items are procured and delivered on time and that all necessary testing, field demonstrations and training are offered on the use of commodities or equipment provided as part of each PIKA.

Termination of PIKA:

GUCs: A grant is cancelled only if a grant agreement has been signed. USAID retains the ability to terminate the grant activities unilaterally. Grants may also be canceled if the grantee fails to perform or the USAID COR with TIS+ staff determines the grant is no longer in the TIS+ program's or USAID's interest. Grants that have been yellow-lighted or green lighted without any signed grant agreement may be 'rejected' in the TIS+ Database if they are determined not to be appropriate. Grants that have been signed will be classified as cancelled in the TIS+ Database and any appropriate grant close out components, including disposition of NXP and handover documentation will be completed by the AMT with the grantee. A full explanation of the justification or rationale for the cancellation of the PIKA will be recorded by the DCOP, SAO or PDO in the TIS+ Database.

DDGS: A DDGS is cancelled only if implementation is underway, and expenses have been incurred, and either a recipient/beneficiary fails to perform or the USAID COR with TIS+ staff (or unilaterally) determines the DDGS is no longer in the TIS+ program's or USAID's interest. USAID must retain the ability to terminate the DDGS activities unilaterally.

PIKA Completion and Close-out. A PIKA is completed when the SAO verifies that all steps in the Activity Cycle have been accomplished, delivery schedules and timelines achieved, and documentation verified by the appropriate authority, including final agreement with the recipient/beneficiary and/or oversight committee. In the event that a PIKA budget will be or has been exceeded, a grant amendment detailing the additional costs and justification needs to be requested from the COR or CO, depending on the threshold.

The PLO or a technical specialist in conjunction with AECOM and /or the recipient/beneficiary will certify the delivery and quality of goods and services and/or completion according to technical specifications. All requisite grantee and / or recipient training, including warranty provision, must be addressed prior to a grant moving to completion status. For infrastructure activities, both new and rehabilitation, Operation and Maintenance (O&M) training will be provided to the appropriate stakeholder and a separate LOC promoting long term ownership and sustainability of the asset (if this provision was not included in the original activity LOC) may be negotiated and signed upon completion of the training.

The SAO and M&E Specialist will guide the PAS in coordinating the production of a final evaluation report, which will involve the oversight committee or awardee representatives and include verification of LOC responsibilities and may incorporate public comment and feedback, focus group discussions, photos, videos, and success stories where appropriate. A financial disbursement report will demonstrate sufficient funds are withheld until all requirements are met by the supplier, vendor, or contractor and verified by the OM. For rehabilitation and new construction components, a three month retention period with respect to the final payment schedule will generally be utilized by AECOM to ensure quality control and assurance. The SAO will verify all completion processes have been fulfilled, including official disposition of NXP assets to the grantee. This will require CO approval, which is expected to be done semi-annually, as a collective request for NXP of all PIKA implemented with NXP assets provided to recipients/beneficiaries during that 6 month period. The SAO will then make the recommendation to the DCOP to close the PIKA. The SAO can then update the TIS+ Database accordingly.

ACTIVITY CYCLE FLOW CHART

The PDO and PAS have clear, complementary and reinforcing roles to play throughout the cycle of an activity that generates a TIS+ PIKA from conception through implementation to close-out. The PDO is responsible for the management and oversight of PIKA from design through close-out and plays a critical role in overseeing that all steps laid out in the TIS+ activity cycle are completed for each grant as required. After the COR has given the green light – Step 12 in the Activity Cycle – and prior to Step 16, the PAS and the SAO work together, finalizing all activity documentation. During these specific steps, the PDO is responsible primarily for quality control.

| STEP | STEP DESCRIPTION | INITIATOR | RECEIVER |
|---|--|-----------------------|-----------------------------|
| Stage 1 : PIKA Development : From Idea to Pending PIKA | | | |
| 1 | Activity concept generated by TIS+ staff, USAID, through consensus-based planning processes for community and district-based activities, and/or other stakeholders. The Program's TIS+ PIKA Form (PF) will be used by TIS+ staff to articulate their ideas for potential activities. All staff will present PIFs and/or share their ideas during regularly-scheduled program meetings. | Anyone | TIS+ Team Meeting |
| 2 | DCOP receives concept / plan and SAO populates concept idea tracker. | Anyone | DCOP/COP and SAO |
| 3 | Is concept presentation worthy, Yes or No? | DCOP | SAO |
| 3a | If No, note on concept idea tracker rejection and send applicant (if applicable) rejection letter. All rejections will be discussed with stakeholders and replacement activities selected. | DCOP | SAO |
| 4 | If Yes, Activity concept discussion / plan concurrence with USAID (USAID and AECOM TIS+ team members discuss relevance of Activity). | Anyone | TIS+ Team Meeting/Via email |
| 5 | Concept yellow-lighted by USAID, pending activity assigned number in Database by SAO. | Anyone | SAO |
| 5a | SAO enters activity information into the Database immediately upon approval by USAID via email or during meetings. | USAID | SAO |
| Stage 2: PIKA Development: From Pending to Approved | | | |
| 6 | DCOP assigns activity to PDO for further development. Environmental screening will be conducted and factored into the development of the PIKA form. | DCOP | PDO |
| 6a | AECOM staff coordinate with grantee to complete grant development package, including the preparation of the Environmental Review Form.. The SAO sets up the electronic activity files on One Source. This ensures TIS+ maintains a consistent folder and file structure across storage platforms. | SAO, PDO, PS, and PLO | DCOP |
| 6b | PDO, PS, PLO, COP, DCOP, and/or USAID staff seek input from local partner, international partner, and stakeholders through in-person meetings, emails, and phone conversations. | PDO | COP/DCOP |
| 7 | OM determines worthiness and complies with OFAC restrictions (EPLO, MK Denial, UNSC, SDN/BP etc.) Negotiation Memo and results search, all uploaded to One Source. | PS | OM |

| STEP | STEP DESCRIPTION | INITIATOR | RECEIVER |
|---|--|-------------------|---------------------------|
| 8 | PDO completes required fields in the Database PAS, PLO develop draft budget specs, costing, BOQ, SOW, implementing plan, and ESRF/EMMP as relevant for activity. | PDO, PAS, and PLO | COP/DCOP |
| 9 | PDO develops indicators to measure outputs, outcome and impact of activity, incorporates environmental mitigation measures into the monitoring plan, and discusses with M&E Spec. | PDO | M&E Spec. |
| 10 | PDO submits completed PIKA CSV file and detailed budget to DCOP and then the COP for final review. All supporting documentation filed in One Source. | PDO | COP/DCOP |
| 11 | COP submits CSV file and all supporting documentation to USAID COR for approval/clearance. | COP | USAID/COR |
| 12 | Green Light (cleared) from COR, Yes/No? | USAID COR | COP/DCOP/SAO |
| 12a | If No, SAO logs on concept tracker and Database. If an activity does not receive the Green Light from USAID and USAID communicates that this activity should no longer be considered for development, the SAO will change the activity status from Pending to Rejected in the TIS+ Database. | USAID | SAO |
| 13 | If Yes, Approvals issued per thresholds (up to \$250,000 for the COR) and procedures following this PIKA manual. | SAO | USAID |
| Stage 3: PIKA Activity Implementation: From Cleared to Completed | | | |
| 14 | SAO and PS generate grant documentation to include, In Kind Grant agreement, certifications and assurances, environmental forms, which are submitted as needed to the COR for MEO approval, and finalize all documents from Step 8. All are filed in One Source. | SAO/PS | PDO |
| 15 | PDO organizes kick off meeting with grantee for PIKA or STTA and beneficiaries for DDGS. Other stakeholders, especially appropriate government officials, are invited to attend. Grant implementation plans, budget, required environmental mitigation measures, expectations and roles and responsibilities are discussed. The LOC is produced, negotiated and agreed upon. | PDO | Awardee/ Beneficiaries |
| 16 | PDO, PS, PLO and grantee (if applicable) review budget and process procurement package of materials, goods, and services through AECOM's web-based procurement management system. | PDO | PLO |
| 17 | PDO and PLO secure approval and complete procurement process through Purchase Order or procurement modalities as appropriate. | PDO/PLO | SAO |
| 18 | PDO and PLO and community stakeholders monitor activity throughout implementation following TIS+ EMMP and Monitoring and Evaluation Strategy and using AECOM and technical specialist as needed developed monitoring forms and update activity notes in the TIS+ Database. | PDO, PLO | SAO |

| STEP | STEP DESCRIPTION | INITIATOR | RECEIVER |
|---|--|-----------------|------------------|
| 19 | In the event that the successful completion of the activity is likely to result in expenses higher than the approved budget, the COP will request a budget amendment from the USAID COR. | COP | USAID COR |
| 20 | M&E Spec. works with PDO and grantee to measure outcomes and outputs of activity. | M&E Spec. | PDO, COP, USAID |
| 21 | PS and PLO secure Delivery Notes and inventory NXP assets as well as other goods and materials delivered – recorded by grant number. | PAS/PLO | PDO |
| 22 | PDO issues a final inspection, as required, for the grant. If this is a construction activity, engineer issues final inspection report. O&M training is provided to the appropriate stakeholder(s) and a LOC ensuring sustainability of the asset is signed as needed. | PDO | COP/DCOP/USAID |
| 23 | PDO informs SAO of grant completion and status is changed in Database from Cleared to Completed. | PDO | SAO |
| Stage 4: PIKA Activity Closure: From Completed to Closed | | | |
| 24 | FAM completes payments for in-kind GUC, DDGS, STTA or training grants. | FAS | FAM |
| 25 | FAM generates Final Grant Disbursement report and SAO uploads to Database. | FAM | SAO |
| 26 | PDO, SAO, and PLO review final expenditure and ensure the grant was completed within the budget. If necessary, a budget amendment request will be submitted to the COR by the COP. | PAS/PLO/PDO/COP | SAO/USAID |
| 27 | The grantee submits a final report to AECOM on grant outputs. Grantees may not have the capacity to complete final reports. While final reports are desirable, these are not required for grant closure. | PDO | SAO/DCOP/COP |
| 28 | PDO writes Summary of Achievements &/or Problems using the standard list of questions and enters into Database. | PDO | SAO |
| 29 | PDO writes Snapshots on activity (if applicable), which may include examples of good environmental practice and effective mitigation measures. | PDO | PDO/DCOP/PLO/SAO |
| 30 | SAO and PDO audit the grant soft and hard copy files, to include in One Source, to ensure required documentation is secured and all the fields, including GIS coordinates and hyperlinks in the Database are completed and accurate. | PAS/SAO | PDO |
| 31 | PAS and PLO transfer title of non NXP assets, infrastructure and supplies to grantee or beneficiaries and finalize transfer of NXP upon receipt of approval from USAID of Final Disposition. | PAS/PLO | PDO |
| 32 | PDO ensures environmental monitoring documentation is in place and produces Grant Completion and Close-out Statement, signs and gets signed by FAM, COP, and head of Activity Oversight Committee. PAS and SAO save in all required files including One Source. | PDO | COP |
| 33 | The DCOP approves change in status of the activity to “Closed” from “Completed”. If necessary, the COP requests an end date amendment from the COR. | DCOP/COP | USAID COR |

| STEP | STEP DESCRIPTION | INITIATOR | RECEIVER |
|------|--|-----------|--------------------|
| 34 | SAO changes activity status in the TIS+ Database to "Closed" upon receipt of DCOP approval and unexpended funds, if any, are returned to PIKA. | SAO | COP/USAID/COR |
| 35 | Review lessons-learned from activity and discuss whether follow-on activities make sense with USAID. | SAO/DCOP | COP/DCOP/USAID/COR |

TYPES OF PIKA

All TIS+ PIKA will be implemented using in-kind mechanisms ONLY. AECOM and USAID will discuss government stabilization and/or development priorities, community consensus plans and proposed or potential PIKA ideas, and how these effectively respond to the political and stabilization transition context, community priorities, and relate to the overall TIS+ Program objectives. AECOM will implement in-kind activities adhering to qualities and quantities approved in the PIKA agreement and budget, monitor activities for technical and programmatic soundness in accordance with the USAID approved M&E plan, and evaluate PIKA according to whether the PIKA have met their individual objectives and contributed to the overall Program goals and objectives.

AECOM will seek approval for each PIKA selection. The majority of grantees and beneficiaries / recipients will be local organizations within communities and districts. These will generally be local government entities or part of a wide range of civil society organizations including local faith-based groups, youth or women associations, cooperatives, associations, informal groups, voluntary organizations student groups, media, private sector, and/or coalitions of these entities. For infrastructure activities, construction companies will be the subcontractors under the grant, with a preference for utilizing local competency whenever possible. Following the completion of the PIKA, all built assets and/or procured items will be transferred to the community or used for another activity if possible. The COR, in consultation with the CO as necessary and in accordance with this PIKA Manual, will approve all PIKA. The threshold for COR approval will be \$250,000, and all proposed PIKA exceeding this threshold will require approval by the CO. PIKA that contain any subcontracts requiring consent to CO subcontract per FAR 52.244-2, must be approved by the CO prior to entering into the subcontract. All grants must be designed in accordance with relevant U.S. government policies and procedures.

The following apply to the bulk of PIKA:

- PIKA will involve various stakeholder groups in a TIS+ focus district or community choosing representatives to participate in consensus groups. Inclusive community consensus groups which include government representatives will support identification of priority stabilization activities, as well activity development, and implementation. The COR or CO, depending on the threshold, will approve each PIKA.
- PIKA will generally involve the following at the community or district level:
 - Participatory process using technical facilitation as needed with the potential grantee and/or community stakeholders involved in the design, implementation, and monitoring;
 - Grantee /community / local government contribution such as security, materials, land, cash or labor agreed under a Letter of Commitment (LOC);
 - Media, messaging and/or communications component to amplify the results;
 - Training, technical assistance or other support;
 - Tangible and visible impact or benefits;

- In-kind procurements (e.g. office equipment, printing materials, conference/seminar venues, technical specialists, or building supplies);
- Catalytic in design and impact;
- And consideration for any sanctions or restrictions that may pertain.
- PIKA may also include technical activities that play a critical role in supporting the community-driven, consensus based processes and activities that lie at the core of TIS+ and PIKA, and/or work to coordinate and elevate outputs and outcomes of TIS+ community-based PIKA for a larger stabilization impact in Somalia. This may include:
 - Stability and conflict assessments, baseline studies, feasibility studies, technical assessments and reports;
 - Strategic communications, messaging, arts and cultural and/or sports activities that link communities and districts to larger Somalia initiatives;
 - Activities promoting investment in and financing and marketing of TIS+-supported plans;
 - Women’s empowerment and gender equity grants that have a larger role on stabilization in Somali society;
 - Development of specialized training modules that support community, district, regional and or federal level capacity building with community, civil society, and /or governance counterparts;
 - Events and forums at the regional, state and/or federal level that serve to promulgate TIS+ stabilization messages, share best practices and lessons learned, and coordinate activities across a wider geography to help maximize the impact of this “bottom-up” program.
- Branding and marking as appropriate will be planned and agreed with the COR during the design phase of each grant in accordance with the approved TIS+ Branding and Marketing Implementation Plan, and any USAID approved branding and marking waivers and/or exceptions.
- The type of PIKA being proposed will be discussed with the COR and documented in the TIS+ Database.
- AECOM will secure COR approval of all public content to be developed as part of a PIKA, including but not limited to content of media and/or messaging and communications campaigns, trainings, and other material for public dissemination. The COR will review these materials for any partisan or conflict-inducing content. Relevant clauses shall be included in the in kind grant agreements.
- All procurements will comply with FAR 52.244-2 requirements and include delivery to the grantee or beneficiaries, inspection and acceptance parameters, requisite field demonstrations where applicable, training on use of the commodity, warrantee/maintenance agreements, and monitoring of commodity use.
- Professional labor hired requires biodata for salary justification in line with ADS 752.7007. Nonprofessional labor engaged under the ODC line in approved grant budgets does not require biodata, and will be compensated according to local market rates.
- Due diligence must be applied for all vendors and subcontractors to ensure they are not on the USG lists of terrorists or undesirable individuals or entities.
- Sustainability must be considered during the grant design phase, though not a necessary condition for grant clearance, as some transformative/transitional activities are inherently unsustainable.

IN-KIND GRANTS UNDER CONTRACT (GUCS)

Under an in-kind grant under contract, funds are not disbursed directly to the grantee. Instead, TIS+ procures and makes payments toward all necessary goods and services on behalf of the grantee in accordance with USAID rules and regulations, AECOM policies, and TIS+ procurement policies. AECOM will work very closely with grantees and other key stakeholders, including government

representatives as appropriate, to gain a clear understanding of their needs to effectively select vendors and procure the appropriate goods and services, in a transparent and competitive manner. Once the vendor selection has been made, AECOM will ensure that procurement includes delivery to the grantee, inspection, requisite field demonstrations where applicable, training on use of the commodity, warranty/maintenance agreements, and monitoring of commodity use.

AECOM staff will provide facilitation support and technical assistance to grantees throughout the process of grant design and development. The majority of grants will be identified and developed by community consensus groups that include appropriate government counterparts, as part of Objective 1, 2 or 3 activity plans, with the communities as the awardees (such as but not limited to the local administration or the local peace committee). Therefore, grant design will be facilitated by AECOM staff, with support from subcontractors funded under PIKA as/when needed, but primarily community-driven, with input and final approval from the COR.

For in-kind grant awards, the grantee and any involved vendors will be vetted to determine: legal eligibility, and specific programmatic and political considerations. Vetting will be conducted through known international mechanisms and services as well as via institutional validation as explained below.

In terms of known international mechanisms and services, TIS+ will establish the non-presence of grantees and vendors prior to award on databases such as the US Treasury Department's Office of Foreign Assets Control (OFAC) Special Designated Nationals (SDN) list and the international community via mechanisms such as MK Denial and the SAM system. In the event that any search results in the indication of the presence of a grantee on any of the SDN lists, TIS+ will proceed to validate the finding, and if the finding is validated, TIS+ will notify the COR that it will not be possible to move forward with a grant to the proposed grantee. In the event that any search results in the indication of the presence of a vendor on any of the SDN lists, TIS+ will proceed to validate the finding, and if the finding is validated, will not award a subcontract to the vendor. If the presence of an awardee on one of these lists relates to a grant already underway, the activity will be suspended. TIS+ will then proceed to validate the finding, and if the notification is validated, TIS+ will immediately cancel the planned activity or procurement related to the grant or terminate the same activity if already underway.

TIS+ will generally employ a community contracting process when selecting vendors under in-kind grants at the community level. Through this community contracting process, a local tender committee will be established, which will include representation from TIS+ Activity Management Teams (AMTs), a TIS+ technical specialist (e.g. engineer), a government representative, and community consensus group members, including women. Members will receive training on ethics and conflicts of interest. All bidders are required to participate in on-site seminars explaining the bidding process. TIS+ tender committees will analyze bids, assign scores against publically available criteria, and announce awards. This community contracting mechanism will empower community members, who bring much local knowledge of vendors, their actions and their performance to the tendering process.

Under its competitive procurement processes, AECOM will also liaise with other stabilization programs as well as other USAID funded assistance programs in Somalia, to ensure adequate efforts are applied to vetting vendors and subcontractors. This will include review of any available blacklists, careful scrutiny and detailed follow up of references and past performance credentials. Physical verification of stock for materials and equipment will be conducted, and a list of vetted and preferred suppliers will be developed over time. AECOM will maintain a reliable market pricing list to assist the PDOs and PASs in producing accurate grant budgets. Where required, subcontractors and vendors will also be facilitated as needed to acquire DUNS licenses. In-kind activities offer additional programmatic flexibility as the existence of credible financial or compliance systems of the grantee is less important since funds are not directly transferred to the grantee. Management of grant activities will require significant coordination and collaboration between AECOM staff

and grantees. The grantee can play an active role in, for example, determining what is needed under the grant, gathering quotes from potential vendors/service providers through the community contracting process, and selecting the final vendor/service provider.

Another important aspect of managing in-kind grant activities is ensuring that all program property is properly used and disposed of once the grant is complete. Once procured, the grantee is required to use and conserve the asset for the purposes specified in the grant. Within the in-kind grant agreement, the grantee agrees to include in the final report a list of the remaining stock of expendable items, an inventory of non-expendable items, and an approved proposal for their future use. That disposition plan for all NXP assets will be submitted to the USAID CO for approval on a six month cycle, as part of the PIKA Grant close-out process.

STTA (short term technical assistance) and training activities may be an important component of in kind grants, as an effective modality to provide appropriate technical assistance to the grantee. These components will generally be procured by AECOM under a competitive process with the SOW and TORs, as well as specific budget components for the technical assistance and training being developed and agreed with the grantee and included in the grant documentation when it is presented for review and approval by the COR. STTA is needed in an organization or government entity to help it perform a specific function more efficiently and effectively. STTA consultants and trainers / training organizations will provide support to the organization or government entity for a period of time, generally less than six months. The consultants and or trainers generally will answer to the organization/entity on a regular basis within a defined SOW and subcontract or STTA agreement.

Competition

Due to their nature and application, it is anticipated that many TIS+ awards will not be competed. In the case that the activity is competed, TIS+ will describe the competitive process that was followed and include all supporting documents in the relevant activity file.

In cases when a grant is not competed, TIS+ will document the appropriate US government exception, in accordance with ADS 303.3.6.5 applies. Those exceptions are as follows:

Exclusive or Predominant Capability This grant engages an entity which has exclusive or predominant capability based on proprietary resources, specialized facilities or programmatic expertise, an existing unique relationship with the cooperating country or beneficiaries, or participation in a Global Development Alliance (GDA).

Small Grants This grant has a total amount at or below the \$150,000 for a term of no more than one year. This award will not be amended to add funds beyond \$150,000 or to extend the date beyond one year from the original date of the award.

Unsolicited Applications This grant is an unsolicited application for an award by an applicant solely on their initiative, without prior formal or informal solicitation by TIS+. TIS+ may make an award based on an unsolicited application when the application clearly demonstrates a unique, innovative, or proprietary program, represents appropriate use of TIS+ funds to support or stimulate a public purpose, and fits within an existing TIS+ strategic objective. This exception may not be used for non-competitive extensions to existing awards and a recipient's request to extend an ongoing relationship is not considered an unsolicited application.

Unsolicited applications are those submitted to TIS+ for an award by an applicant solely on his or her initiative, without prior formal or informal solicitation by TIS+. In such cases, the COP must certify that: TIS+ did not solicit the application; based on a review by an appropriate technical specialist and

the COR, the application is considered unique, innovative, or proprietary; funding the application is an appropriate use of TIS+ funds to support or stimulate a public purpose; it fits within the TIS+ program implementation plan.

When the terms of an unsolicited application fits within the scope of a published and open Annual Program Statement (APS), the application may be considered under the APS. The unsolicited application is then considered to have competed under the APS and no justification for an exception to competition is required.

A recipient request to extend an ongoing relationship must not be considered an unsolicited application. In order to make such an extension without competition, TIS+ must prepare a justification for it as an amendment or follow-on assistance award.

Follow on Assistance Agreements

A follow-on assistance award is a new agreement subsequent to the completion of an existing agreement for either the same activity or to further develop an existing assistance relationship. TIS+ may implement a follow-on assistance award through an amendment to the original award or as an entirely separate award.

TIS+ also must not use the follow-on exception to continue a relationship with a recipient that received a noncompetitive award based on the Small Award exception (see above).

TIS+ must justify, in writing and with specificity, why the benefits of continuing the assistance activity with the same recipient exceeds the benefits of a competitive process favored by USAID and TIS+ policy. Specifically, amendments which require justifications are those which extend the life of an award and simultaneously either increase the total estimated amount of the award or change the program description.

TIS+ does not require a justification if the amendment is strictly for administrative purposes (such as incremental funding, changes which do not require an increase to the total estimated amount of the award, or a non-substantive change to the program description).

Local Competition Competition may be limited to local or regional (indigenous) organizations. Under this exception, the grant must be competed amongst local/regional organizations and cannot be sole sourced to one specific local/regional entity.

For purposes of consistency and reporting, the definition of “local entity” means an individual, a corporation, a nonprofit organization, or another body of persons that:

- (1) Is legally organized under the laws of;
- (2) Has as its principal place of business or operations in;
- (3) Is majority owned by individuals who are citizens or lawful permanent residents of; and
- (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country receiving assistance.

If a competition is limited to local or regional organizations, non-local/regional organizations may not compete for the award unless the program is re-advertised to provide qualified non-local/regional organizations with a fair opportunity to compete.

DIRECT DISTRIBUTION OF GOODS AND SERVICES (DDGS) ACTIVITIES

Direct distribution of goods and services may be used to support events and activities, including procurement of equipment (expendable or non-expendable) or services. The types of goods and services procured are similar to those secured under grants and will also be delivered to beneficiaries as approved by the COR in the grant documentation. Both STTA for technical assistance services and training activities may fall under DDGS, as well as procurement and delivery of specific materials and equipment, when deemed appropriate by the COR.

DDGS may be used when it will advance TIS+ program objectives but signing an in-kind grant agreement is not feasible, or where there is no appropriate grantee or implementing partner, or when this streamlined process will yield the greatest benefit to the program objectives, at the request and/or in agreement with the COR. This could include circumstances in which the intended recipients are unable to sign an activity agreement, when there is no appropriate grantee, there are many grantees who would share access and utilization of the goods and services, the goods or services procured are of wider stabilization or security or political importance to be utilized across a broad spectrum of activities and opportunities over time, or when the timing is crucial to the activity's success. An example of a DDGS would be a procurement of a large number of wind-up radios at the direction of the COR, and for their distribution to be included in many of the consensus plan activities, to enhance access to quality information by the beneficiaries of the activities.

Short-Term Technical Assistance (STTA) Activities

An innovative feature of TIS+ PIKA will be the use of STTA to support the implementation of the program, where it is agreed with the COR that there is not one single grantee for which the technical assistance can be delivered to. Under this type of STTA, AECOM engages an organization or individual to help perform a specific function. Situations in which STTA will be used under DDGS include the following:

- STTA is required for a period longer than the duration of any one activity and across more than one grant. Consultant contracts for STTA services under an activity may not exceed the end date of an activity. Because most activities are short-term in nature, consultants who are required to support multiple PIKA may be engaged under a DDGS STTA activity and would be expected to support a specific cluster of activities. The tasks that the consultant undertakes may include support for design, coordinating, monitoring, or supporting technical implementation within a cluster of grants.

Training Activities

On occasion, program-related direct training support will be provided by TIS+, instead of through a PIKA awarded to a grantee. The types of training that can be provided are similar to what is provided under a PIKA. This mechanism / modality would most likely be employed to advance gender equality, sensitivity, and women's empowerment activities in support of Objective 4; communications activities; training to Activity Oversight Committees; or in support of Consensus-Based and/or Bridging Planning processes.

Training may be provided outside of a specific grant when it will advance program objectives, but signing an activity agreement is not feasible with one specific grantee, or when this streamlined process will yield the greatest benefit to the program objectives. This could include circumstances in which the recipients are unable to sign an activity agreement, in remote areas where there is limited expertise or organizations able to operate, when there is no appropriate training grantee or there are many possible grantees and the training is being provided to multiple grantee beneficiaries at the same time. TIS+ may also determine that there is an opportunity to foster collaboration across

different organizations. In these cases, asking one entity to serve as the grantee may be inappropriate or significantly slow the process. As such, it may be more appropriate for TIS+ to take the lead in providing the training or fostering dialogue, as opposed to that being designated to only one of the groups participating in the seminar.

CONFLICTS OF INTEREST

In the design, preparations for and actual implementation of TIS+ activities, AECOM may decide to investigate a potential or actual PIKA award for any real or perceived conflict of interest (COI). Specific examples may include a TIS+ staff member or TIS+ consensus group member that has close financial or familial relationships with potential sub-contractors or awardee organizations; or a professional action or decision occurring that an independent observer might reasonably question. Consultation will take place with the COP, SAO, Finance Manager, and Operations Manager in the event there is a question or possible conflict of interest. In the event that TIS+ determines that a conflict of interest exists that cannot be mitigated, such as via a recusal of staff from selection committees, AECOM may need to disqualify a PIKA grantee or possible vendor and or subcontractor. Additionally, all TIS+ consensus group members need to sign Non-Disclosure and COI forms.

Definition of conflict of interest:

A conflict of interest is any interest, financial or otherwise, direct or indirect; participation in any business, transaction or professional activity; or incurring of any obligation of any nature, which is or appears to be in substantial conflict with the proper discharge of duties in relation to a project funded by TIS+.

FRAUD AND INAPPROPRIATE OR UNETHICAL CONDUCT

AECOM maintains a zero tolerance policy when dealing with improper financial management conduct or fraud. In the event any TIS+ employee discovers such conduct or fraudulent actions, it is expected that there is an immediate (confidential) report provided directly to the COP. Generally, the COP will inform AECOM home office and an agreed process of investigation will be commenced. That would often (usually) involve an immediate suspension of the procurement and or the PIKA implementation itself, and or the involved TIS+ staff, if any. USAID Somalia and/or the Inspector General (IG) would be informed as appropriate. Information about the AECOM hotlines will also be made available to all AECOM staff involved in the PIKA process.

MONITORING AND EVALUATION

The PDO, PLO, and community / district stakeholders monitor the grant throughout its implementation following the TIS+ Monitoring and Evaluation Strategy. Key to this strategy is the use of “participatory monitoring,” which supports the TIS+ principle of inclusive participation. AECOM staff will endeavor to conduct all visits to activities – those that involve tangible outcomes as well as intangible – with members of the Grant Oversight Committee, charged with oversight of a particular activity or cluster of activities.

Other community stakeholders such as local leaders, women and youth, and local government officials may be involved, even if not explicitly, as part of the committee. The head of the committee will sign the Activity Completion and Close-out Certification.

Activity Oversight Committees will not only constitute a physical presence at site visits, but will also provide critical data for evaluation of grant outputs and outcomes. With technically competent subcontractors contracted under competitive procurement processes, TIS+ will build the capacity of these committees from the outset of the program. Committee heads, AECOM staff, and enumerators may be provided with smartphones with pre-loaded customized data entry and survey forms to make data collection simple, minimize errors, and reduce data entry time. TIS+ will work with selected subcontractors to customize software for data tracking, analysis, mapping, and sharing of results. Data can be collected and uploaded later when internet is available. A key aspect of the M&E process will be methods for easy integration of M&E data into the TIS+ Database. To supplement this process, especially at early stages of the Program (before full integration of these tools and the database is complete), TIS+ will use AECOM staff and specialist subcontractors to help develop monitoring forms and ensure effective and timely updating of activity notes in the database.

The following standard questions will be addressed in the Summary of Achievements / Program database field:

1. What could have been done differently to improve projects results? Are there lessons that can be applied to future programming?
2. Were all the activities implemented as planned? If not, what changed?
3. Was environmental mitigation and monitoring carried out as required?
4. What were the major problems and delays including the procurement process? Was the program able to overcome these? Explain how.
5. Were there any problems with the Grantee? Explain.
6. How did the project advance its assigned TIS+ country objective? (select objective the activity fell under)
7. Did the project achieve its own objectives as articulated in the “activity objectives” section of the TIS+ Database (with understanding that not all objectives may be achievable in the short term)?
8. Were there any unanticipated factors that:
 - a. Facilitated implementation of the Project?
 - b. Hindered implementation?
9. Did the Project effectively address the political realities and priorities at the time?
10. Did the impact of the activities reach beyond the identified target actors or constituents?
11. What changed in the community as a result of TIS+’s assistance? How has the grant played a role in changing the attitudes and perceptions of communities about government (crisis?) at the local, regional and national levels?
12. Additional comments

TIS+ DATABASE

AECOM uses the TIS+ PIKA Database (here, forward referred to as the TIS+ Database) to develop PIKA and seek clearance for all activities. The database, in association with One Source, serve as the AECOM management tools for documentation, approval, and reporting throughout the activity cycle, documenting grant outputs and outcomes. The data fields included in the database are designed to help generate, develop, manage, monitor, evaluate, and report on in-kind activities. AECOM is responsible for managing the day-to-day operation of the database and ensuring that it contains accurate, complete, and up-to-date

information that reflects the status of the TIS+ program in real time. Use of the database ensures that USAID and AECOM staff has access to the same information regarding all PIKA, from pending through closed, as well as any cancelled PIKA. The database will be updated weekly, with an effort to upload M&E data gathered through smartphones directly depending on the technological integration of these tools.

Appropriate TIS+ staff will be trained on the use of the database. The training will explain the functions of the database including how to upload PIKA (csv) forms, create budgets, track approvals and PIKA status and generate reports. AECOM’s training will focus on how the database fits within the Activity Cycle and key elements of the TIS+ Database User’s Guide.

INFORMATION MANAGEMENT

Each PIKA Activity Cycle step requires that standard activity documents be produced and filed in four locations:

1. Activity File: hard copy in AECOM Field Offices (Mogadishu, Nairobi, Hargeisa)
2. Network Attached Storage (NAS) or AECOM Server: located in AECOM Field Offices
3. TIS+ Database
4. OneSource: online repository of Program documents

The SAO and PDOs are responsible for generating all required PIKA documentation to include the In Kind Grant agreement, certifications and assurances, and environmental forms. The PDO will follow up with the SAO and PAS to ensure this step is completed prior to the grant kick-off meeting, where all required activity documentation is provided to and reviewed with the grantee or STTA consultant. Prior to the activity clearance, Step 12, the PDO leads discussions and meetings with the grantee/ beneficiaries to develop the activity and detailed PIKA budget. A Master Activity File Checklist will be used by the SAO, PAS, and the PDO to ensure that for each PIKA, all mandatory files have been produced and copied in all required locations.

The table below presents the list of mandatory, optional, and grant - specific documents required for each stage of the PIKA Cycle. The table also presents the signatures required to validate each document before uploading. The standard documents forms are presented in Appendix 1.

| STEP DESCRIPTION | REQUIRED SIGNATURES |
|--|---------------------|
| Stage 1 : PIKA Development : From Idea to Pending PIKA | |
| PIKA Form (if developed) and indicative budget | N/A |
| GUC, DDGS – Procurement, STTA or Training proposal (if applicable) | N/A |
| GUC, DDGS – Procurement, STTA or Training budget | N/A |
| Stage 2: PIKA Development: From Pending to Approved | |
| PIKA Approval Form | COP, USAID |
| Detailed Budget (PDF version housed in One Source) | COP |
| Environmental Screening Form (ESF) | PDO |
| Environmental Review Form (ERF or ERR) – as required | PDO, COP, USAID |
| Declaration Establishing the Review of Prevented, Suspended or Ineligible Actors Form signed by PO & COP/DCOP – with SAM and MK Denials Report | PDO, COP |
| Memorandum of Negotiation (as needed for DDGS- Procurement, STTA and or Training s grants) | COP |

| STEP DESCRIPTION | REQUIRED SIGNATURES |
|--|---|
| Stage 3: PIKA Implementation: From Cleared to Completed | |
| Applicable only for In-kind Grants : In-kind Grant Agreement and Certificates of Compliance | COP, Grantee |
| Applicable only for Short Term Technical Assistance (STTA) under In Kind grants or DDGS : STTA Agreement, LOE or Deliverables-based, and Certificates of Compliance | COP, STTA |
| LOE-based STTA Agreement : Recruitment/Interview Matrix (if applicable), CV, 1420 EBD Form, References and salary verification documentation | |
| LOE Based STTA : Time & Expense Report | STTA |
| Deliverables-based STTA Agreement : Deliverables | |
| Applicable only for DDGS : Purchase request for goods and/or services to be delivered, Purchase Order or Subcontract | COP or DCOP |
| Activity Modification form (if applicable) | COP, USAID |
| Stage 4: PIKA Closure: From Completed to Closed | |
| Meeting Notes/Monitoring Reports—(only if not captured in the activity notes of the database) | |
| Awardee reporting and responsibilities specified in the “awardee reporting and responsibilities” field in the database and in any LOCs | |
| Media work produced in the course of the activity (ex. Photographs, CD/DVD, video packages, audio files, video files, newspaper clippings, etc.) (if available/required) | |
| Modification of PIKA activity Close-Out to awardee | COP |
| Activity Close-Out – Completion Statement | PDO, COP and DCOP (if applicable) |
| Detailed Transaction Report | PDO, SAO, FAM, and COP and if applicable DCOP |
| Approval for disposition of non-expendable Property (if applicable) | USAID CO |
| Certification of Receipt of Equipment, Furniture or Supplies | Grantee |
| Property Title Transfer Agreement (if applicable) | COP, Grantee |
| Final Grantee Report (if applicable) | |

TIS+ AECOM STAFF ROLES & RESPONSIBILITIES

| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|--|-------------|-------------|
| Nairobi Office-Key Personnel | | |

| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|--|--------------------------------------|--|
| <p>Chief of Party (COP)</p> <ul style="list-style-type: none"> • Leads TIS+ implementation, developing a close working relationship with USAID and coordinating the Program as needed with other USG entities, the host government(s), donors, and local actors. • Submits the Environmental Documentation Form and receives approval from the USAID Mission Environment Officer for each PIKA activity to USAID prior to PIKA implementation. • Primary point of contact for COR and CO and lead interlocutor with USAID stabilization Implementing Partners (IP) at periodic IP meetings. • Takes direction from USAID on the strategy and Program, overseeing all aspects of TIS+ and directly supervising Program and responsible for training on and ensuring use of the TIS+ Database by Program staff. • Ensures all contractual requirements are met including daily use of and updating to the database, weekly reports and database uploads, and weekly, quarterly, and annual reports are submitted on time and in accordance with USAID guidance regarding format and content. • Serves as AECOM legal representative, signatory, and head of the Nairobi field office, responsible for day-to-day supervision of both Program and operations staff and consultants. • Supervises financial and administrative management, Program development and implementation, as well as activity development and implementation from Nairobi field office. • Serves as AECOM's security focal point. • Mentors DCOP, SAO, PDOs, travels frequently to the field and provides remote support to teams to identify Activity Awardees, partners and target beneficiaries; and develop, implement, and monitor activities responsive to TIS+ strategy and approach. • Coordinates with partners, government, and international organization representatives and stakeholders at the local, district, regional and federal level. | <p>AECOM TIS+ Engagement Manager</p> | <p>Operations Manager, Finance & Accounting Manager, DCOP, Senior Engineer</p> |
| <p>Deputy of Chief Party (DCOP)</p> <ul style="list-style-type: none"> • Manages the SAO and supports oversight of the PDOs. • Oversees implementation of the TIS+ Consensus Approach. • Oversees the process of engagement and development of new strategic engagement plans, for geographic and or thematic TIS+ expansion over time. • Reviews database to ensure data quality, accuracy, consistency and completeness and compliance with database standards. • Produces regular database reports for discussion and review by USAID and AECOM staff. • Oversees M&E programming components and staff. • Develops PKA concepts jointly with the SAO, oversees feasibility of construction activities jointly with the SE. • Serves as Acting COP, fulfilling all COP responsibilities as needed. | <p>COP</p> | <p>SAO, PDOs and M&E team</p> |

| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|--|-------------|--|
| <p>Operations Manager (OM)</p> <ul style="list-style-type: none"> Leads adaptation of administration, logistics, procurement, budgeting, financial, Property management, and security systems developed during Start-Up to meet the needs of an evolving program. Oversees and manages quality control for all PIKA procurement, delivery, transport, warranty aspects of PIKA implementation. Oversees inventory / asset management and ensures compliance for the APR and other asset management responsibilities. Supports AECOM GRG Regional Security Director and COP to adapt and update security protocols that allow effective Program implementation, while ensuring the safety and security of AECOM, USAID, and partner staff, consultants, and beneficiaries. Supports activity development, specifically budget development and review to ensure items budgeted are allowable, allocable, and reasonable and consistent. | COP | Procurement Manager, ICT Officer, and Contracts Specialist |
| <p>Senior Activity Officer (SAO)</p> <ul style="list-style-type: none"> Supports DCOP and USAID in developing and refining M&E system, Process, and tools: analyzes activity- and cluster-level data to encourage learning across the TIS+ team and inform Program strategy and activity design. Provides oversight of PIKA design consistent with PIKA Manual, inclusive of procedural compliance, allowability and allocability. Ensures that environmental screening of PIKA concept is conducted and verifies that the activity is not High Risk. In consultation with USAID, oversee PIKA analysis, selection, final design, implementation, management, monitoring & evaluation. Following PIKA selection, oversees the preparation of the ERF using the template in Annex 6. Where warranted, prepares the PIKA-specific EMMP, drawing on the project-wide TIS+ EMMP for guidance. Oversees PDOs at the field level, reviews and provides quality control for PIKA activities at the idea stage. Uploads weekly updates of TIS+ Database back-end and activity documents to One Source and shares with USAID and TIS+ teams. Analyzes M&E data collected by PDOs, IRS, and partners to assess performance against Program strategy and output, outcome, and impact indicators. Supports and coordinates external evaluations as agreed with or directed by USAID and serves as the point of contact for qualitative and quantitative survey and analysis activities. Supports field mapping by developing key mapping, new media and technology contacts in Somalia. Maintains quality control, troubleshoots, and Provides TIS+ Database and One Source training to TIS+ staff. Uploads weekly updates of TIS+ Database back-end and activity documents to One Source. | DCOP | PDOs |
| Non-Key Personnel | | |
| <p>Contracts Specialist (CS)</p> <ul style="list-style-type: none"> Works with OM, DCOP and COP to develop and oversee all | OM | Procurement, Logistics, & Sub-contracts Officer |

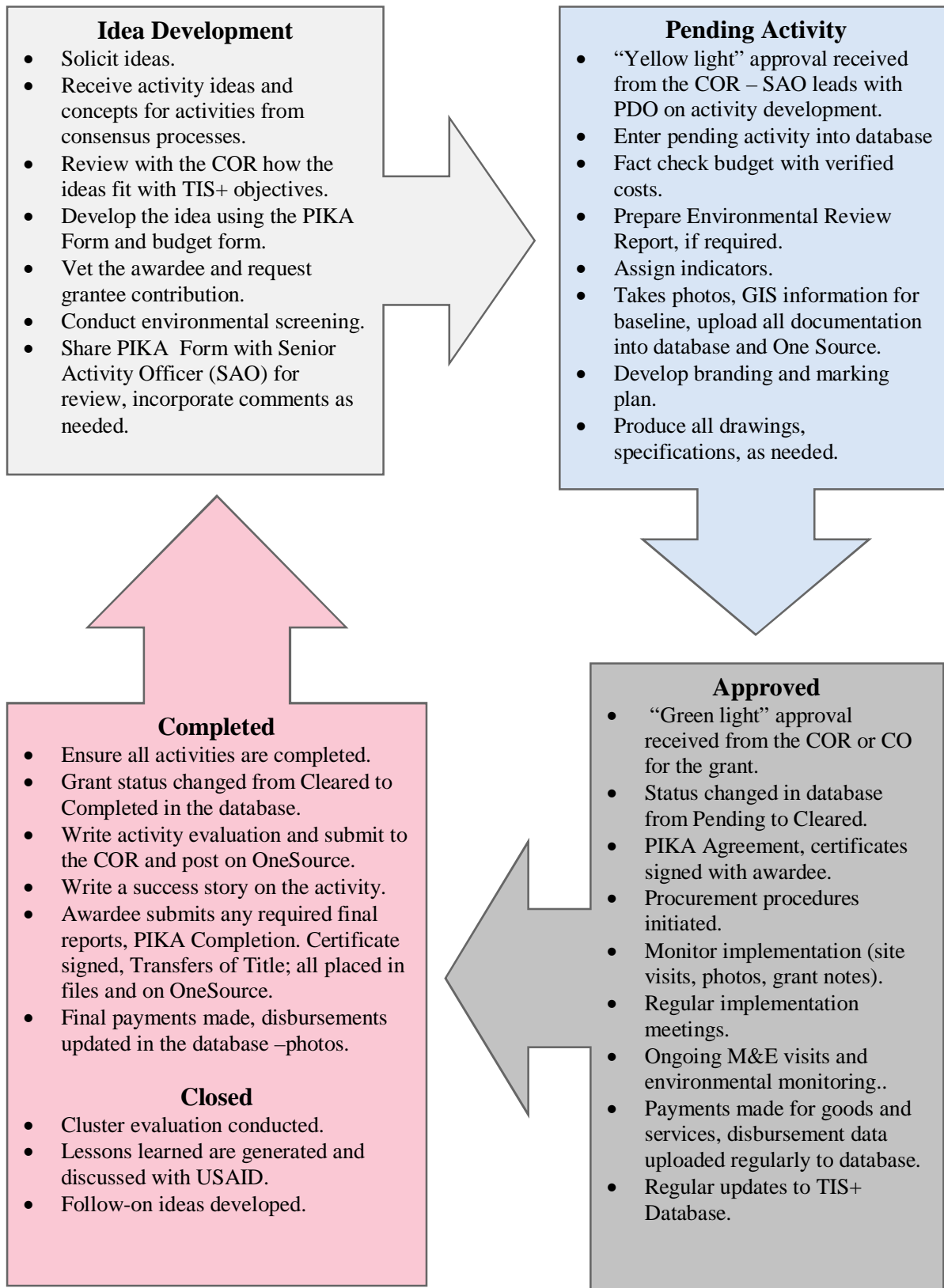
| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|--|-------------|-------------------|
| <p>procurements for AECOM operations and PIKA activities.</p> <ul style="list-style-type: none"> • Directly and indirectly supervises all Procurement & Logistics Staff. • Ensure all approved purchase requests are processed in a timely manner and recommend the most appropriate method of Procurement. • Explore innovative ways to meet activity Procurement needs in a timely and cost effective manner, including, for example, blanket purchase orders, use of local markets, decentralized Procurement staff, and Project Procurement packages. • Supports the Procurement and Logistics Specialists and Procurement, Logistics and Sub-contracts Associates in preparing bid analysis, negotiation memos, and purchase orders for review and approval following AECOM thresholds for the OM, DCOPs, and COP. • Establish system to track status of payments for purchase orders and sub-contracts with the FAM. • Participate in the development of specifications and performance standards to facilitate Procurement of equipment, goods and services in compliance with the approved AECOM and USAID Procurement policies and Procedures. | | |
| <p>Program Development Officer (PDO)</p> <ul style="list-style-type: none"> • Functions as the team leader in assigned administration areas/ regions. • Oversees PAS and PLOs. • Prior to PIKA selection, conducts environmental screening of PIKA concepts using the Environmental Screening Form (Section V of the ERF in Annex 6) to ensure that the activity is not High Risk. High Risk Activities require a Deferral from USAID or are not recommended for funding, as determined by the USAID Mission Environment Officer. • Prepares the ERF and implements the PIKA EMMP. • Identify and bring together TIS+ consensus groups, potential local partners, and beneficiaries and coordinate and implement TIS+ consensus processes. • Supervises and guides subcontractors for PIKA implementation. • Support the DCOP, SAO, COP and USAID in developing and refining TIS+ processes for engagement and encourage learning across the TIS+ team and inform program strategy and PIKA design from the district, regional and Administration levels. • Facilitate development of TIS+ concepts into implementable activities and budgets with input from all stakeholders that are responsive to TIS+ strategy and objectives. • Support SAO analysis, data collection, monitoring, and reporting. | SAO | PASs, PLOs |
| <p>Program Activity Specialist (PAS)</p> <ul style="list-style-type: none"> • Coordinates with grantee and beneficiaries on grant design, implementation, monitoring and close out; • Supports implementation of environmental mitigation and monitoring; • Documents environmental monitoring results; • Supports orientation and monitoring of subcontractors, STTA and training activities; • Supports timely and efficient procurement, delivery and hand over | PDO | No direct reports |

| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|--|-------------|--|
| <p>of assets, and effective sustainable asset management by the grantee;</p> <ul style="list-style-type: none"> Supports effective implementation of M&E components of grants; | | |
| <p>Procurement & Logistics Officers (PLO)</p> <ul style="list-style-type: none"> Based on specifications provided by PDO, PAS, and local partners, carries out Procurement and coordinates delivery of materials, goods, and services in support of TIS+ activities. Takes direction from PDO on sequencing and prioritizing Procurement based on activity plans prepares payment requests upon delivery and inspection, testing, demonstration, and verification of goods and services. Updates PLO on Property deliveries to activity awardees, STTA, and beneficiaries for the updating of PIKA inventory. Tracks and updates operations inventory following AECOM and USAID regulations. Manages AECOM Vehicle fleet and drivers – where appropriate. Schedules and manages logistics for team and TIS+ events including daily and weekly meetings and periodic trainings. Supports Operations Manager in Procurement for TIS+ offices. Supports the Procurement and Logistics Specialists preparing paperwork for the disposition of Property acquired under PIKA. Leads day-to-day oversight of Procurement, logistics, and sub-contracting, ensuring transparency, competition, timely delivery, and adequate inspection and verification of goods and materials procured and quality of services provided for TIS+ Program activities and operations. Advises on local laws related to sub-contracts. Updates and maintains inventory for PIKA activities per AECOM and USAID policies. | PDO/OM | No direct reports |
| <p>Finance and Administration Manager (FAM)</p> <ul style="list-style-type: none"> Supervises finance team; ensures transactions are entered accurately into AECOM's accounting system; consolidates reports from all offices into monthly field office expense report, submits report to HO by established deadlines. Supports COP, OM, and AECOM/HO PMU in tracking expenditures and managing task order obligation and activity budgets. Trains and Provides tools and updated expenditure information so Program staff can develop and monitor activity expenditure and budgets. Enters approved expenses into AECOM accounting system. Prepares monthly payroll for CCN staff. Generates monthly field office expense report for review by COP. Supports Activity Management Teams to Process payments and manage and track activity budgets. Scans finance documents, maintains finance files, and compiles and submits back-up to AECOM/HO monthly. Tracks advances, reviews expenditure, and Processes reimbursements to AECOM staff, consultants, and activity awardees. | COP | Finance Officer, Finance & Accounting Associate |

| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|--|--|---|
| <p>Finance Specialist (FS)</p> <ul style="list-style-type: none"> Processes payments, records transactions in accounting system, compiles information for weekly/bi-weekly field office expense reports, and prepares monthly bank reconciliation. Tracks advances, reviews expenditures, and Processes reimbursements to cash activity recipients and AECOM staff and consultants. Drafts and submits VAT exoneration and reimbursement and duty-free clearance requests to USAID. | FAM | No direct reports |
| AECOM TIS+ Project Management Unit (PMU) | | |
| <p>Engagement Manager</p> <ul style="list-style-type: none"> Primary point of contact for COR and CO from TIS+/AECOM Home Office. Supports the TIS+ team to develop and expand its network in Somalia and supports COP and TIS+ team to develop and cultivate a nuanced understanding of the evolving political, social, economic, and security situation in Somalia. Sharing of lessons-learned from previous USAID and transition Programs and mentoring HO staff on rules and regulations, AECOM policies and procedures and general USAID best practices. | Director, Recovery, Transition & Stability | COP and AECOM/HO Senior Program Manager |
| <p>Senior Program Manager (SPM)</p> <ul style="list-style-type: none"> Day-to-day POC for COP and OM and linchpin for managing and ensuring adequate and appropriate AECOM/HO support to TIS+ operations. Monitors and ensures timely submission of all TO outputs, tasks, and deliverables and accountability of TIS+. With CO and FAM, maintains oversight of financial management of Task Order and activity budgets through regular review and analysis of budget, versus actual expenditure and forward cost Projections. Recruitment, retention of LTTA expatriates and TCNs Provides editorial and writing support for deliverables and localized AECOM policies and procedures manuals. Works with COP, and FAM to update regular budget versus actual expenditure and forward cost Projections tool and analysis for submission and discussion with USAID at least monthly. Monitors TIS+'s performance against deliverables in compliance with Contract requirements. | Director, Recovery, Transition & Stability | Program Coordinator |
| <p>Program Coordinator (PC)</p> <ul style="list-style-type: none"> Serves as POC for international travel and maintains HR files for expatriate staff and USAID technical concurrence and OAA approvals. Review of Procurement and other Operations related documentation uploaded to AECOM's OneSource platform to ensure compliance with AECOM Procurement regulations and approval thresholds established for AECOM's offices in Kenya and Somalia. Reviews finance reports and supporting documents submitted by field office. Monitors regular updating of inventory and timely submission of the APR. Performs regular activity file audits and communicates with respect to | PM | No direct reports |

| Position Name and Primary Roles & Responsibilities | Reports To: | Supervises: |
|---|-------------------------------------|------------------------------------|
| missing documents to SAO and DCOP. | | |
| <p>Contracts Manager</p> <ul style="list-style-type: none"> • Primary AECOM POC for OAA and monitors contract compliance and compliance with all USAID, USAID, and AECOM regulations. • Submits all contract waiver and approval requests to OAA, upon receipt of technical concurrence by TOCOR. • Provides support Program Start-Up, Ramp-Up, and Close Out as required. | Chief Operating Officer | No direct reports relative to TIS+ |
| <p>Finance, Contracts, Billing Manager</p> <ul style="list-style-type: none"> • Coordinates with TIS+ Finance and Accounting Manager, COP, and Program Accountant on financial actions. • QA/QC TIS+ monthly financial reporting and invoicing; submittal of invoice(s) to USAID. • Manages wire transfer Process. | Vice-President and Controller | Program Accountant |
| <p>Program Accountant</p> <ul style="list-style-type: none"> • Reviews field office expense reports to ensure recording of expenses is accurate and follows AECOM chart of accounts and once reviewed enters all expenses into CostPoint. • Interacts regularly with TIS+ Finance and Accounting Manager and COP. • Prepares monthly vouchers/invoices with activity-by-activity expenditure report for submission to USAID. | Finance Contracts & Billing Manager | No direct reports relative to TIS+ |

ANNEX 1. PIKA CYCLE FLOWCHART



ANNEX 2. INSTRUCTIONS FOR TIS+ PIKA FORM

1. Start with the **Objectives** section. Each objective starts with “to...”
 - ◆ First objective is the project **output**—what tangible thing will the activity produce
 - *Ex: To enlarge a youth center in a mixed ethnic area from an existing one-room to a four-room structure.*
 - ◆ Second objective is the **outcome**—what stabilization component, social, economic, or political situation do we hope to change because of the activity. This explains **why** the project is important. For TIS+, the why (the outcome) and the how (the activity steps) are more important than what the project is (the output). Create a before and after picture: visualize the problem—what does it look like (*ex: youth without skills sitting around idle and getting into ethnic fights*). Now visualize what it would look like after the project is done *ex: youth from two ethnic groups making blocks for a new building, youth playing football together*). What is our goal?
 - *Ex: To promote constructive activities, interaction, and skills building among youth of mixed ethnic backgrounds*
 - ◆ Third objective is how the project will promote stability. What is the larger aim of the outcome? Since this is a big objective, we should use terms like “contribute to” and “help” instead of saying the activity “will” do this.
 - *Ex: To help reduce the prevalence of youth-instigated violence in the area*
2. Now go to **Outcome Indicators**. Take the visual picture you created above under the outcome objective.
 - ◆ List several things you saw in the before picture (*ex: youth sitting around idle, youth getting into fights*) and several things you visualize in the after picture (*ex: youth working together on a project, youth playing games together*).
 - ◆ These are your indicators. Revise them to make sense:
 - *Ex: Fewer youth sitting around idle*
 - *Ex: Fewer youth getting into fights*
 - *Ex: More youth working together on a project*
 - *Ex: More mixed youth playing games together*
 - ◆ Get some basic figures and write them down. (*ex: how many young men do you see in the market place doing nothing, how many fights a week have been occurring, how many inter-ethnic football matches have occurred in the past month, how many joint construction projects have youth been involved in over the past 6 months, etc.*) Get as many estimates as possible and average them.
 - *Ex: Fewer than 45 youth sitting around idle in the market place*
 - *Ex: Fewer than 4 major youth fights a week*
 - *Ex: More than 1 new project in which youth are working together*
 - *Ex: More than 2 inter-ethnic football matches in 1 month.*
3. Next, list the **Activity Steps**. This should be done collaboratively with the activity so that their ideas are incorporated and so they take ownership over the project.

- ◆ Think about **how** the project will be done. This should include such things as mobilizing people, forming committees, designing the building collaboratively, joint maintenance and operation of the project, labor-intensive employment, youth material and labor contribution, contribution from community or commissioner, skills training in the process of construction, etc. How the project is implemented relates directly to how much impact it will have on community security.
 - ◆ What are the steps necessary to complete the project? List them sequentially.
 - *Ex: Form two youth committees of about 20 youth each, one from each tribe*
 - *Ex: Youth committees together draw basic construction design for the addition to the center*
 - *Ex: Get go-ahead from engineer and county commissioner for the additional rooms on land the commissioner has donated*
 - *Ex: Collect building materials. Youth will contribute sand and gravel.*
 - *Ex: Pour foundation for addition and conduct short workshop in foundation construction*
 - *Ex: Conduct workshop in block-making for youth*
 - *Ex: Build walls and roof using youth work crews and simultaneously conduct short workshops in construction technique*
 - *Ex: Furnish center with 5 tables, 25 chairs, 1 laptop, 1 printer, and 1 bookshelf.*
4. Using the Activity Steps that you just completed, identify the **Awardee Reporting and Responsibilities**. These include the documentation and reporting that the awardee is responsible for signing, including the in-kind activity agreement, transfer of title, activity completion certificate, final awardee report and any other necessary reporting.
5. Now complete the sections on **Sustainability and Maintenance**.
- ◆ Think about what the needs will be to continue to operate, maintain, or continue using the project's benefits. If it is a building, who will maintain it, if it is a skill, how will the trainee continue to use it? If there will be a continued need for material resources or spare parts, how will they get it? If something breaks, how will they fix it? Will there be a committee to collect resources of maintenance?
 - ◆ Think about the long term ownership and responsibility for promoting ongoing and effective use of the goods and services, or infrastructure that this activity will provide to the awardee. Which group or position will be the responsible representative from the awardee and what will or may be needed from TIS+ or other stakeholders to support sustainability ?
 - ◆ Where applicable, draw up a Memorandum of Understanding between the awardee and TIS+ stating they understand they are responsible for the continued effective use and or upkeep of the project and have the awardee sign it.
6. Next, draw up a **Short Budget**. This is just a quick estimate (you will refine the budget later). Use the budget template to help you.
- ◆ Think through the materials, tools, supplies, expertise, and transport the project will need.

- ◆ Put the description, unit, duration, quantity, and cost of **materials and supplies** (including tools) into the first section and add that up under subtotal. (A “unit” is a word, not a number, such as sack, person, kilo, bundle.) Do not fill in duration unless it applies.
- ◆ Put the cost of **travel and transportation** for the things and persons that need to be brought in (except TIS+ staff) in the second section and add up the sub total.
- ◆ Put additional items such as experts or advisors in the **other direct costs** and add up that subtotal. If you are not sure where to put something, put it here.

| Description | Unit | Duration | Quantity | Unit Cost Pounds | Total Pounds | Total USD* | Comments |
|--------------------|------------|----------|----------|------------------|--------------|------------|-----------------|
| Metal roofing | sheet | | 10 | 20 | 200 | 250 | |
| Engineer | person | day | 2 | 50 | 100 | 125 | |
| Trucking materials | Truck load | | 2 | 500 | 1000 | 1250 | Cement, roofing |

- ◆ Add up the totals in US dollars.
- ◆ Transfer each of the US dollars sub totals to the **short budget** of the idea template.
- ◆ Put the total at the top of the idea template under **estimated budget**.

7. Next, outline your **Marking and Branding Plan**. This section should be only two or three sentences. There may be a marking exception or waiver in place but the grantee and USAID may want to agree on appropriate branding and marking of the goods, services or infrastructure provided in this activity. Generally, the government counterpart logo may be more appropriate for marking purposes of most activities.

- ◆ Briefly outline how you will make USAID’s support of the project clear through appropriate application of USAID’s Identity.
- ◆ All items worth more than \$500 or likely to last more than 2 years may be marked with the USAID Identity
- ◆ In addition, USAID support should be acknowledged on banners, invitations, reports, letters, and other publically available/visible documents or items.
- ◆ Possibilities include:
 - The USAID Identity on a conference banner
 - Permanent plaques attached to buildings
 - *Ex: TIS+ will prominently display the USAID Identity on participant t-shirts, certificates, and other project materials. TIS+ may also apply permanent metal plaques to the building recognizing the support from USAID.*
- ◆ For more information, consult the SAO, the DCOP, and or USAID for guidance.

8. Now go to the **Activity Summary and Justification**. This section should be no more than 3 – 4 sentences.

- ◆ The first sentence should be the political relevance (the justification)—**why** we are doing this. Repeat your third **Objective** in a sentence and link it to the second

Objective. Adjust them so that they make sense to someone who knows nothing about the area.

- *Ex: This activity aims to help reduce the prevalence of youth-instigated violence between two conflicting groups by promoting constructive activities, interaction, and skills building among local youth.*
- ◆ Then describe your first Objective (the PIKA summary).
 - *Ex: The project will enlarge an existing one room youth center to a four-room center including space for skills training and games.*
- ◆ Outline where the activity will be implemented and why the target location is important.
 - *Ex: The project will be carried out in Mogadishu, an area with high levels of interethnic cattle raiding and large amounts of youth unemployment and idleness.*
- ◆ Then go to your Activity Steps and briefly describe critical elements of the **how** that are important to the awardee's success
 - *Ex: Youth will design and lead the construction, which will include skills training in construction technique as well as local contribution of materials and land.*
- ◆ Finally, go to Linkages to Other Projects and briefly state how it connects to other activities (past and future) and other programs.
 - *Ex: The project will employ youth trained in block making from Activity PIKA017, and the center will be supported through the Federal Government of Somalia's civic education program and be used for TVWA's plow building training.*

9. Then go back up to the **Background and Context**. This section describes the historical context and why the project is needed (many parts of this can be used for multiple activities). This section is the snap shot of the situation before we implement the activity.
- ◆ Start by describing the larger political or conflict context (Mogadishu, regional), using figures if you have them.
 - ◆ Then describe the history and context of the area (interim administrative area, or SL, then region, then district if appropriate) that the project aims to effect.
 - ◆ Finally, specifically discuss the problem we hope to help address through the project. This should be a literal picture of the problem (*population increase of youth 10 – 25 year old, idle youth, lack of economic development, unemployment, escalation of youth violence*). After the project is complete, we will hopefully have a different visual picture (*mixed youth playing games, meetings among youth, youth constructing new buildings with their skills*)
10. Now write the **Description of the Awardee**. This section is to give us a sense of the accountability of the awardee as well as to help us support them in this or future awardee.
- ◆ If it is a CBO or an NGO, briefly describe its mission, experience, history (how it got started), and anything else that is pertinent—like membership, size, area of work, leadership.
 - ◆ If it is a government entity, give the name of the person responsible and any other information about their area of management or past or current projects.

11. Finally, complete the **General Activity Data** section, with specific focus on:
 - ◆ **Title** – Select a title that directly reflects the activities you described above. It should be clear from the title what the project is about, *Ex: Mogadishu Youth Center Enlargement*. Title the budget template and the Activities Idea Form the same.
 - ◆ **ERF/ERR** – Integral to the activity approval process is the submission and approval of an ERF/ERR (provided by the USAID Mission Environmental Officer [MEO]). After an idea form has been drafted, an ERF (and ERR if required) will be completed by the TIS+ Project Engineer. The ERF/ERR addresses any potential environmental risks that may result from implementation of the activity. The ERF/ERR is submitted to TIS+ for review prior to submission to the COR and then to the MEO . Similar activity ideas (i.e. construction, training, furnishing/equipping) should be grouped and submitted as one ERF/ERRs, in as much as possible. The ERF/ERR is submitted to TIS+ at the same time the idea form is submitted, unless it was previously approved as part of a ‘group’ ERF/ERR.

12. Put your name at the bottom under **Created by**.

ANNEX 3. PIKA FORM

| A. GENERAL ACTIVITY DATA | |
|--|---|
| Title: | |
| Country Objective: <i>from TIS+</i> | |
| Sector: | Location: |
| Target Group: | GPS Coordinates and Map to be provided whenever feasible |
| Grantee: <i>name</i> | Cross-cutting Themes: TBD |
| Date ERF/ERR Submitted: | Estimated Budget: ----- USD |
| % Women participation? If not, why not? | |

| B. ACTIVITY IDEA |
|---|
| Activity Summary and Justification: |
| Background/Context and Statement of Need: |
| Conflict Sensitivity: |
| Objectives: 1) <i>Output objective:</i> 2) <i>Outcome objective:</i> 3) <i>Stabilization objective:</i> |
| Outcome Indicators: (include figures) |
| Activity Steps: |
| Awardee Responsibilities: |
| Linkages to Other Projects (TIS+, USG and non-USG): |
| All Involved/Impacted Stakeholders: |
| Sustainability: |
| Maintenance (for Infrastructure Activities): |
| USAID Branding & Marking Plan (or falls under the approved exception or waiver): |

C. SHORT BUDGET

This activity will include the following items: (estimated budget in USD)

| | | |
|---|---|--|
| 1 | Material | |
| 2 | Equipment | |
| 3 | Travel & Transport | |
| 4 | Labour | |
| 5 | Communications, Messaging & Media | |
| 6 | Office & Administration | |
| 7 | Workshops, Training and Seminars | |
| 8 | ODC- subcontracts, task orders, service contracts | |
| 9 | Grant Administration | |

Total

D. AWARDEE and PARTNERS

Description of the Awardee:

Other Partners and their Role(s) in Activity:

Created by:

Date:

ANNEX 4. IN-KIND GRANT AGREEMENT TEMPLATE

Name of Recipient _____
Address of Recipient _____
Date _____
Subject: Donation of _____

Dear _____:

Pursuant to the authority contained in the **TIS+ Contract AID – 623 – C - 15 – 00001**, the TIS+ Program hereby provides the _____ (**the Grantee**) an in-kind contribution of the materials and activity support described in Attachment 1.

This award is effective on the date of this letter.

The Recipient point of contact designated in Attachment 2 (Recipient POC) must acknowledge receipt of the materials with the Receipt of In-Kind Materials set forth as Attachment 3 of this award, which must be submitted to the TIS+ point of contact designated in Attachment 2. The materials are provided “as is.” TIS+ makes no warranty about the condition or serviceability of the materials. With the exception of NXP items, subject to the terms of this award, title to the materials will transfer to the Recipient upon its receipt of the materials. NXP items will require approval from USAID for official disposition at a later date. Following transfer of title, the Recipient will assume all responsibilities incident to ownership of the materials and any liability and costs arising from third party claims against the TIS+ Program or its personnel related to the use of the materials.

This award is made to Recipient on the condition that the materials will be used in accordance with the Program Description set forth in Attachment 4 and is subject to the Miscellaneous Provisions set forth in Attachment 5.

Please sign the original and each copy of this letter to acknowledge your receipt of this award, retaining one copy for your records and returning the remaining copies to the designated TIS+ POC.

Sincerely,

**[Signature by TIS+ Chief of Party or
Operations Manager.]**

Attachments:

1. In-Kind Contribution
2. Designated Points of Contact
3. Receipt of In-Kind Materials
4. Program Description
5. Miscellaneous Provisions
6. Certification of Completion

FOR THE RECIPIENT:

Signature: _____
Name: _____
Title: _____
Organization: _____
Date: _____

ATTACHMENT 1

In-Kind Contribution

Description Estimated Current
Fair Market Value (FMV)

| NO. | DETAIL ITEM | TOTAL (USD) |
|-----|---|-------------|
| 1 | Material | |
| 2 | Equipment | |
| 3 | Travel & Transport | |
| 4 | Labor | |
| 5 | Communications, Messaging & Media | |
| 6 | Office & Administration | |
| 7 | Workshops, Training and Seminars | |
| 8 | ODC- subcontracts, task orders, service contracts | |
| 9 | Grant Administration | 0 |

TOTAL VALUE OF DONATION

\$ _____ USD [**Provide estimated FMV for each category of materials and total.**]

ATTACHMENT 2

Designated Points of Contact

The following are the designated points of contact under this award:

For TIS+: Ms Fauziya Ali, DCOP

Email: fauziya.ali@somtisplu.com

Tel: **+254 729 448 096**

For Recipient: _____

Tel: _____

Email:

ATTACHMENT 3

Receipt of In-Kind Materials

The undersigned accepts receipt of materials as detailed in the listing provided as Attachment 1.

Designated Recipient POC Signature

Printed Name

Title

Date

ATTACHMENT 4

Program Description

The Recipient will use the materials described in Attachment 1 for purposes of _____
[e.g., conducting a roundtable discussion on sources of local instability]. When the
equipment is no longer required for this purpose, the Recipient may retain the material for
_____ **[e.g., future community-led meetings on peacebuilding and stability]**.

In addition, the Recipient will submit the Certificate of Completion set forth in Attachment 6 to the TIS+
POC following the completion of all agreed activities and events included in the **program description**,
below.

This grant is intended to.....(insert activity description & Justification section from the PIKA Form and
the TIS+ Database)

Objectives:

1. Output objective: ;
2. Outcome objective:
3. Stabilization objective:.

Grantee responsibilities:

- 1.
- 2.
- 3.

ATTACHMENT 5

Standard Provisions for In-Kind Grants to Government Entities²

1. This agreement may be amended upon the mutual, written consent of the parties.
2. The Recipient must ensure that any sub-recipients of the materials set forth in Attachment 1 comply with the terms of this award.
3. No materials provided to the Recipient under this agreement may be sold or exported from **Somalia**.
4. The Recipient agrees that the materials provided under this award will not be made available for use of military, police, or security forces.
5. Materials as relevant, will be imported into **Somalia** and used in this grant without any taxes, duties, charges or fees of any kind.
6. Additional Provisions (Detailed below):
 - a. Special Somalia Conditions
 - b. Preventing Terrorist Financing
 - c. Trafficking in Persons
 - d. Voluntary Population Planning Activities
 - e. Non-Discrimination
 - f. Disability Policy

SPECIAL SOMALIA CONDITIONS

TIS+ and its implementing partners have sole responsibility and discretion to determine the appropriate level of due diligence and procedures so as to prevent accidental, unintentional, or incidental payments or benefits to excluded parties (as defined below). Further guidance relating to this matter, as well as updates, is available in the Department of Treasury's Office of Foreign Assets Control (OFAC) regulations at title 31, chapter V of the Code of Federal Regulations and/or on OFAC's web site at <http://www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx>

The grantee agrees to submit informational copies of its due diligence implementation plans to the TIS+ COP.

The parties agree that the following Special Conditions will apply to this award:

1. Consistent with the September 10, 2009, memorandum from the Department of State (State) to the Department of Treasury's OFAC, and with the September 16, 2009, memorandum from OFAC to State, both relating to State/USAID Somalia Programs, the grantee agrees that it/or its implementing partners (including contractors, grantees, sub-contractors, and sub-grantees) will not knowingly or voluntarily make payments or provide any other benefits to al Shabaab, or to entities controlled by al Shabaab, or to individuals acting on behalf of al Shabaab (collectively, "excluded parties"). Such prohibited payments or other benefits would include:
 - a. Cash facilitation fees or other similar fees at roadblocks, ports, warehouses, airfields or other transit points to excluded parties;
 - b. Purchases or procurement of goods or services from excluded parties; and
 - c. Payments to excluded parties as the de facto municipal authority.

² In-Kind Grants to Non-Governmental Organizations must include additional appropriate standard provisions as applicable per ADS 302mab.

2. The grantee and its implementing partners (including contractors, grantees, sub-contractors and sub-grantees) agree to exercise enhanced due diligence when providing assistance to Somalia under this award to avoid the accidental, unintentional, or incidental provisions of such payments or benefits to excluded parties.
3. In the event that the grantee or its implementing partners (including contractors, grantees, sub-contractors and sub-grantees) becomes aware that it made a payment or provided a benefit to excluded parties, TIS+ shall within ten days after becoming aware of such payment or provision of benefit, notify the COP in writing of such payment or provision of benefit. This notification shall include the following information:
 - a. Factual description of each such event;
 - b. Amount of funds expended or other benefit provided for each such event;
 - c. Safeguards and procedures, including management and oversight systems, that were in place to help avoid the occurrence of such event; and,
 - d. Explanation of the reasons for each such payment or each such benefit provided, including whether it was made or provided knowingly, voluntarily, accidentally, unintentionally, incidentally, or forced.

[END OF PROVISION]

PREVENTING TERRORIST FINANCING (*AUGUST 2013*)

The recipient must not engage in transactions with, or provide resources or support to, individuals and organizations associated with terrorism including those individuals or entities that appear on the Specially Designated Nationals and Blocked Persons List maintained by the U.S. Treasury (online at: <http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>) or the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

This provision must be included in all subawards and contracts issued under this award.

[END OF PROVISION]

TRAFFICKING IN PERSONS (*JULY 2015*)

The recipient, subawardee, or contractor, at any tier, or their employees, labor recruiters, brokers or other agents, must not engage in:

- 1) Trafficking in persons (as defined in the Protocol to Prevent, Suppress, and Punish Trafficking in Persons, especially Women and Children, supplementing the UN Convention against Transnational Organized Crime) during the period of this award;
- 2) Procurement of a commercial sex act during the period of this award;
- 3) Use of forced labor in the performance of this award;
- 4) Acts that directly support or advance trafficking in persons, including the following acts:
 - a. Destroying, concealing, confiscating, or otherwise denying an employee access to that employee's identity or immigration documents;
 - b. Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the United States to the country from which the employee was recruited upon the end of employment if requested by the employee, unless:
 - i. exempted from the requirement to provide or pay for such return transportation by TIS+ under this award; or

- ii. the employee is a victim of human trafficking seeking victim services or legal redress in the country of employment or a witness in a human trafficking enforcement action;
 - c. Soliciting a person for the purpose of employment, or offering employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment;
 - d. Charging employees recruitment fees ; or
 - e. Providing or arranging housing that fails to meet the host country housing and safety standards.
- 5) In the event of a violation of section (a) of this provision, TIS+ is authorized to terminate this award, without penalty, and is also authorized to pursue any other remedial actions authorized as stated in section 1704(c) of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239, enacted January 2, 2013).
- a. For awards that exceed an estimated value of \$500,000, the recipient must submit to TIS+, the annual “Certification regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013” as required prior to this award, and must implement a compliance plan to prevent the activities described above in section (a) of this provision. The recipient must provide a copy of the compliance plan to TIS+ upon request and must post the useful and relevant contents of the plan or related materials on its website (if one is maintained) and at the workplace. The recipient’s compliance plan must be appropriate to the size and complexity of the award and to the nature and scope of the activities to be performed. The plan must include, at a minimum, the following: An awareness program to inform employees about the trafficking related prohibitions included in this provision, the activities prohibited and the action that will be taken against the employee for violations.
 - b. A reporting process for employees to report, without fear of retaliation, activity inconsistent with the policy prohibiting trafficking, including a means to make available to all employees the Global Human Trafficking Hotline at 1-844-888-FREE and its e-mail address at help@befree.org.
 - c. A recruitment and wage plan that only permits the use of recruitment companies with trained employees, prohibits charging of recruitment fees to the employee, and ensures that wages meet applicable host-country legal requirements or explains any variance.
 - d. A housing plan, if the recipient or any subawardee intends to provide or arrange housing. The housing plan is required to meet any host-country housing and safety standards.
 - e. Procedures for the recipient to prevent any agents or subawardee at any tier and at any dollar value from engaging in trafficking in persons activities described in section a of this provision. The recipient must also have procedures to monitor, detect, and terminate any agents or subawardee or subawardee employees that have engaged in such activities.
- 6) If the Recipient receives any credible information from any source that alleges that the recipient, contractor, subawardee, or agent has engaged in any of the prohibited activities identified in this provision, the recipient must immediately notify the cognizant TIS+ representative; and must fully cooperate with any institutions responsible for audits, investigations, or corrective actions relating to trafficking in persons.
- 7) TIS+ may direct the Recipient to take specific steps to abate an alleged violation or enforce the requirements of a compliance plan.
- 8) For purposes of this provision, “employee” means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.

- 9) The Recipient must include in all subawards and contracts, a provision prohibiting the conduct described in a(1)-(9) by the subrecipient, contractor or any of their employees.

[END OF PROVISION]

VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS(MAY 2006)

- 1) Requirements for Voluntary Sterilization Programs
 - a. Funds made available under this award must not be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.
- 2) Prohibition on Abortion-Related Activities:
 - a. No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term “motivate,” as it relates to family planning assistance, must not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.
 - b. No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent, or consequences of abortions is not precluded.

[END OF PROVISION]

NONDISCRIMINATION

TIS+ is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. TIS+ prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran’s status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, TIS+ strongly encourages its PIKA recipients, subcontractors, and vendors (at all tiers), to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

[END OF PROVISION]

DISABILITY POLICY (JUNE 2012)

The recipient must not discriminate against people with disabilities in the implementation of USAID funded programs and should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities.

[END OF PROVISION]

Any TIS+ grantee found to be in violation of any of these Miscellaneous Provisions will be subject to actions that may include but that are not limited to: performance penalties, removal from the grant agreement and/or termination of said agreement.

Grant Number: _____

Name of Recipient: _____

Printed or Typed Name and Title: _____

Signature: _____

Date: _____

ATTACHMENT 6

Certificate of Completion

The undersigned hereby certifies that the activities described in Attachment 4 have been successfully completed and that Recipient has complied with all terms and conditions of the award.

Authorized Representative Signature

Printed Name

Title

Date

ANNEX 5. CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATION STANDARD PROVISIONS FOR GOVERNMENT RECIPIENTS³

1. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which is maintained by OFAC, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by TIS+ (USAID) to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

³ In-Kind Grant Solicitations for Non-Governmental Organizations must include additional appropriate certifications, assurances, other statements of the recipient and solicitation standard provisions as applicable per ADS 302mav.

3. For purposes of this Certification –

a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

(i) “Training” means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) “Expert advice or assistance” means advice or assistance derived from scientific, technical, or other specialized knowledge. b. “Terrorist act” means - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of TIS+ (USAID) funds or TIS+ (USAID) - financed commodities to the ultimate beneficiaries of TIS+ (USAID) assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by TIS+ (USAID) prior to the end of its term.

2. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013

Note: This certification must be completed prior to receiving an award with an estimated value that exceeds \$500,000, and must be submitted to the Agreement Officer annually during the term of the award.

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies that:

1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision “Trafficking in Persons” and is in compliance with that plan;
2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision “Trafficking in Persons” and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and
3. To the best of the representative’s knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision “Trafficking in Persons.”

3. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (2) the Certification Regarding Trafficking in Persons⁴ above. These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or Annual Program Statement No. _____
Application No. _____
Date of Application _____
Name of Recipient _____
Typed Name and Title _____
Signature _____
Date _____

⁴ Remove if this certification is not applicable per the information provided in the note under #2 above.

ANNEX 7. ENVIRONMENTAL REVIEW FORM

The template for the Environmental Review Form (ERF) includes the report format, Environmental Screening Form (ESF) and EMMP for site-specific PIKA.

{Indicate Title of Activity⁵}

I. ENVIRONMENTAL DOCUMENTATION⁶

Summary Data, Certification, and USAID Clearance

| | |
|--|--|
| Activity | |
| Activity Location: | |
| Activity Implementation Partner | |
| Activity Duration | |
| Activity Description | |
| Activity Category, Recommended Determination and Documentation | |

Certification: I, the undersigned, certify that:

1. The information in this form is correct and complete

The following actions have been taken to assure that the activity complies with environmental requirements established under the code of federal regulation 22 CFR 216.

- Those responsible for implementing this activity have received training and or documents describing essential design elements and best practices for activities of this nature.
- These design elements and best practice will follow in implementing this activity, unless USAID specifically requests a change.
- Any specific mitigation and monitoring measures described in the environmental review will be implemented in their entirety.

⁵ It is a component of a project that contributes to a project purpose. Activity is an award using a specific implementing mechanism or a component of a project.

⁶Signature page and cover sheet of the ERF

- Complete work in accordance to all technical specification, management processes of natural resources and environment as stated in all relevant procedures for Philippine Building and construction implementation processes. Regulations and Acts include but not limited to Philippine National Standards, Building Code, Fire Code, Water and Sanitation Act and relevant manufactures' manual. The governing technical specification shall be the latest editions.
- Compliance with the conditions will be regularly confirmed and documented by on-site inspections during activity implementation and its completion.

Approved By:

(TIS+ Chief of Party)

(Date)

Prepared By:
TIS+ Project Engineer

BELOW THIS LINE FOR USAID USE ONLY

USAID Clearance

| | | | |
|--|--------------|-------------|--------|
| USAID COR | (Print Name) | (Signature) | (Date) |
| <input type="checkbox"/> Approved <input type="checkbox"/> Rejected | | | |
| USAID MEO | (Print Name) | (Signature) | (Date) |
| <input type="checkbox"/> Approved <input type="checkbox"/> Rejected | | | |

USAID comments: (if documentation is rejected, comments must be provided to applicant)

II. ACTIVITY BACKGROUND

| | |
|------------------|--|
| Background | |
| Rationale | |
| Objectives | |
| Expected Results | |

III. ACTIVITY DESCRIPTION⁷

IV. ENVIRONMENTAL BASELINE INFORMATION

The table below presents the environmental baseline information that describes the existing condition of the general location of the activity site prior to the activity's implementation.

| Site Characteristics | Environmental Parameters | Description |
|---------------------------------|--|-------------|
| Geographic Location | Latitude Longitude | |
| Local Topography | Terrain/Slope Elevation | |
| Local Geology | Soil Type Minerals | |
| Local Hydrology | River System | |
| Local Climate | Climate Type Annual Rainfall | |
| Natural Physical Hazards | Earthquakes/Volcanic Landslide/Erosion/ Flooding | |
| Vegetation Cover | Type Coverage area | |
| Protected Areas | Forest | |
| Land Area and Existing Land Use | Area Land Classification and Use | |
| Population | Total Population | |

⁷ Describes different activity development phases, e.g., Planning and Design Phase; Pre-Implementation Phase; Implementation Phase; Post-implementation Phase/turn-over; Operation and Maintenance; Activity Schedule and Funding

| Site Characteristics | Environmental Parameters | Description |
|-----------------------------------|---|-------------|
| (Latest Census) | Total Households Ethnic Group (%) | |
| Local Economy | Total Labor Force Main Income Source | |
| Basic Services and Infrastructure | Water Supply Sanitary Toilets Electricity Transportation | |

Other Sectoral Assessments or Studies, e.g., Hydrology Assessment, Water Quality Studies, etc., if applicable

V. ENVIRONMENTAL SCREENING FORM⁸

| Name of Activity: Type of Activity: Implementer: Date: | | Column A | Column B | Column C | | | Column D | |
|---|---|----------|----------|---|--------|------|--------------------|-----------|
| | | Yes | No | If answer to Column A is "yes", what is the risk? | | | Duration of Impact | |
| | | | | Low | Medium | High | Short-term | Long-term |
| IMPACT ON NATURAL RESOURCES & COMMUNITIES | | | | | | | | |
| 1 | Will the activity involve construction ⁹ of any type of structure (building, check dam, walls, water supply or sanitation systems, etc.)? | | | | | | | |
| 2 | Will the activity involve the construction ¹⁰ or repair of roads or trails? | | | | | | | |
| 3 | Will the activity involve the use, plans to use, or training in the use of any hazardous chemical compounds such as pesticides ¹¹ (including neem), herbicides, paint, varnish, lead-based products, asbestos, etc.? | | | | | | | |
| 4 | Will the activity involve the construction or repair of irrigation systems? | | | | | | | |
| 5 | Will the activity involve the construction or repair of fish ponds? | | | | | | | |
| 6 | Will the activity involve the disposal of used engine oil? | | | | | | | |
| 7 | Will the activity involve implementation of timber management ¹² or extraction of forest products? | | | | | | | |

⁸ The checklist guides the preparer to formulate appropriate measures to be elaborated in the EMMP

⁹ Construction activities need to be reviewed for scale, planned use, building code needs and maintenance. Some small-scale construction activities, such as building an entrance sign to a park, may require simple mitigations whereas larger buildings will require more extensive review and monitoring.

¹⁰ New construction of roads and trails will require a full environmental assessment of the planned construction, i.e., a Positive Determination.

¹¹ The planned involvement of pesticides will trigger the need to develop a Supplemental Initial Environmental Examination that meets USAID pesticide procedures (Pesticide Evaluation Report and Safer Use Action Plan or "PERSUAP") for the activity.

¹² Any activities that involve harvesting trees or converting forests will require a full environmental assessment of the activity, i.e., Positive Determination.

| Name of Activity: Type of Activity: Implementer: Date: | | Column A | Column B | Column C | | | Column D | |
|---|---|----------|----------|---|--------|------|--------------------|-----------|
| | | Yes | No | If answer to Column A is "yes", what is the risk? | | | Duration of Impact | |
| | | | | Low | Medium | High | Short-term | Long-term |
| 8 | Are there any potentially sensitive terrestrial or aquatic areas near the activity site, including protected areas? | | | | | | | |
| 9 | Will the activity impact upon wildlife, forest resources, or wetlands? | | | | | | | |
| 10 | Will the activity proposed generate airborne gases, liquids, or solids (i.e. discharge pollutants) | | | | | | | |
| 11 | Will the waste generated during or after the activity affect neighboring surface or ground water? | | | | | | | |
| 12 | Will the activity result in clearing of forest cover? | | | | | | | |
| 13 | Will the activity contribute to erosion? | | | | | | | |
| 14 | Is the activity incompatible with existing land use in the vicinity? | | | | | | | |
| 15 | Will the activity contribute to displace housing? | | | | | | | |
| 16 | Will the activity affect unique geologic or physical features? | | | | | | | |
| 17 | Will the activity contribute to change in the amount of surface water in any body? | | | | | | | |
| 18 | Will the activity affect mangroves and coral reefs? | | | | | | | |
| 19 | Will the activity expose people or property to flooding? | | | | | | | |
| 20 | Will the activity contribute substantial reduction in the amount of ground water otherwise available for public water supplies? | | | | | | | |
| 21 | Will the activity create objectionable odors? | | | | | | | |
| 22 | Will the activity violate air standards? | | | | | | | |
| ENVIRONMENT & HEALTH | | | | | | | | |

| Name of Activity: Type of Activity: Implementer: Date: | | Column A | Column B | Column C | | | Column D | |
|---|--|----------|----------|---|--------|------|--------------------|-----------|
| | | Yes | No | If answer to Column A is "yes", what is the risk? | | | Duration of Impact | |
| | | | | Low | Medium | High | Short-term | Long-term |
| 23 | Will the activity create conditions encouraging an increase of waterborne diseases or populations of disease carrying vectors or other health or safety hazards? | | | | | | | |
| 24 | For road rehabilitation as well as water and sanitation grants, has a maintenance plan been submitted? | | | | | | | |
| 25 | Will the activity generate hazards or barriers for workers, pedestrians, motorists or persons with disabilities? | | | | | | | |
| 26 | Will the activity increase existing noise levels? | | | | | | | |
| 27 | Will the activity involve the disposal of syringes, gauzes, gloves and other biohazard medical waste? | | | | | | | |
| LOCAL PLANNING PERMITS | | | | | | | | |
| 28 | Does the activity (e.g., infrastructure improvements) require local planning or environmental permits? | | | N/A | | | | |
| 29 | Does the activity meet the national building code (e.g., infrastructure improvements)? | | | N/A | | | | |
| GENDER ¹³ | | | | | | | | |
| 30 | Do men and women benefit disproportionately or are involved unequally in the activity? | | | | | | | |
| 31 | Are there factors that prevent women's participation in the activity? | | | | | | | |
| OTHERS | | | | | | | | |
| 32 | Will the activity involve the use of any non-native species? | | | | | | | |

¹³ A positive response to gender questions require follow up only when there are other positive responses on questions 1 – 30, and an EMMP is developed.

| Name of Activity: Type of Activity: Implementer: Date: | | Column A | Column B | Column C | | | Column D | |
|---|--|----------|----------|---|--------|------|--------------------|-----------|
| | | Yes | No | If answer to Column A is "yes", what is the risk? | | | Duration of Impact | |
| | | | | Low | Medium | High | Short-term | Long-term |
| 33 | Are environmental considerations critical in early planning, design and stakeholder consultation phases of the activity? | | | | | | | |
| 34 | Is community acceptance critical to the success of the activity? | | | | | | | |
| 35 | {Indicate other possible impacts} | | | | | | | |

| RECOMMENDED ACTION (Check Appropriate Action): | | (Check) |
|--|---|---------|
| (a) | The activity has no potential for substantial adverse environmental effects. No further environmental review is required (Categorical Exclusion). No EMMP required. | |
| (b) | The activity has potential for minimal to medium adverse environmental effects, but mitigated environmental effects. Measures to mitigate environmental effects will be incorporated (Negative Determination with Conditions). EMMP Required. | |
| (c) | The activity has potentially substantial or significant adverse environmental effects, but requires more analysis to form a conclusion. An Environmental Assessment will be prepared (Positive Determination). No EMMP required. | |
| (d) | The activity has potentially substantial adverse environmental effects, and revisions to the activity design or location or the development of new alternatives is required (Deferral). | |
| (e) | The activity has substantial environmental effects that cannot be adequately mitigated. Mitigation is insufficient to eliminate these effects and alternatives are not feasible. The activity is not recommended for funding. | |

VI. PIKA ENVIRONMENTAL MITIGATION AND MONITORING PLAN¹⁴

¹⁴ Consists of the set of measures to be taken during implementation and operation of the Activity to eliminate, offset, or reduce adverse environmental impacts. Also included in the plan are actions needed to implement them, including monitoring. The EMMP consists of a write-up description and analysis and a summary in table format.

Environmental Mitigation and Monitoring Plan¹⁵
(Summary Table)

| | |
|---------------------------------------|--|
| Type of Activity (<i>Sectoral</i>): | Activity Size (<i>Scale</i>): |
| Activity Name: | Adjacent Land Use to the Activity Site: |
| Activity Implementer: | Person Responsible on Environmental Comp (<i>Name and Designation</i>): |
| Location Name: | Monitoring Period: |

| # from ESF | Sub-activity or component | Description of Impact | Description of Mitigation Measure(s) | Respons ible Party(ie s) | Monitoring Methods | | | Monitor ing Record |
|------------------|---------------------------------|--------------------------|--|-----------------------------------|---|------------|---------------|--------------------------|
| | | | | | Mitigat ion Indicat or ¹⁶ | Metho d | Freque ncy | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

¹⁵ Instructions: Using the numbers from the ESF that had a “yes”, fill in the corresponding sections of the EMMP table. You may need more than one (1) mitigation measure for each identified impact.

¹⁶ Please note that mitigation indicators in the EMMP table are not the same as project indicators used to measure overall project results. Mitigation indicators presented in this table are designed only to gauge the effectiveness of the identified mitigation measure.

ANNEX 8. END DATE / BUDGET AMENDMENT REQUEST

Date: _____

ACTION MEMO FOR THE TIS+ COR

TO: XXX, TIS+ COR

FROM: XXX, AECOM International Development -

I. RE:

II. BACKGROUND:

III. JUSTIFICATION:

IV. RECOMMENDED ACTION:

USAID/TIS+ COR approval to extend the activity end date from XX XX, 2015 to XX XX, 2015. OR

USAID/TIS+ COR approval to amend the budget as per the new detailed budget (attached)

| | |
|-------------------|--------------|
| Name: | |
| Signature: | Date: |

Approved

| | |
|-------------------|--------------|
| Name: | |
| Signature: | Date: |

ANNEX 9. PIKA EVALUATION FORM INSTRUCTIONS

Instructions for PIKA Evaluations

What: Every activity can be viewed as a story that begins with analysis and description of a problem and how the activity aims to address it (documented in the Activity Idea Form). It ends with analysis and description of how the activity contributed to addressing the problem (documented in the Activity Evaluation Form). An evaluation should be done for each completed activity. If the activity is one in a series of related activities, you may decide to group them into one evaluation. Decide this together with the Senior Activity Officer (SAO) and Program Development Officer (PDO).

Why: Analyzing and describing changes that took place as a result of an activity helps us learn from our successes *and* mistakes to make more informed decisions about future activities. The purpose is not just to catalogue success stories; it is to practice due diligence and to learn what approaches are most effective in which places.

Who: Any program staff member can collect information for the activity evaluation, but the individual involved in developing and/or monitoring the activity is typically best suited to conduct the analysis and generate reports. Program officers can expect support from the DCOP, SAO or TC in conducting evaluations.

When: Evaluations should be performed within 4 weeks of activity completion unless agreed upon otherwise with the SAO and PDO. The SAO should consider various factors, such as access to the project site and beneficiaries, security, and the staff workload when deciding when to conduct an evaluation.

How: Evaluation should be based on your personal observations and interviews with key informants, including activity(s), local authorities (if relevant), and at least two beneficiaries. You may use additional monitoring and evaluation (M&E) techniques (see M&E toolkit), but at a minimum you are expected to get information from multiple sources, “triangulating” between different points of view. Put your findings into the Activity Evaluation Form. Below are guiding questions for completing the form. Before you begin, remember to review the activity summary, objectives, and the outcome indicators in the activity, the activity notes collected during implementation and the activities’ final report.

SECTION A: GENERAL PIKA DATA

All information in this section comes directly and automatically from the database. It does not have to be entered by hand! If you encounter problems, consult the SAO or PDO.

SECTION B: PIKA OUTPUT

1. Activity Outputs

The outputs are what tangibly happened during the implementation of the activity. The Activity Outputs summarizes the steps taken (which may or may not be the same as the activity steps described in the Activity Idea Form and put into background section of the database). [For example: *mobilized 3 youth groups of 25 each; trained each group in motor boat mechanics, conflict mitigation, and business management; provided 1 motor boat to each group.*]

In addition to discussing the steps of the activity, please also note the number of women who participated in the activity, such as the number of women who participated in a training session or in a conference. You do not need to note the number of women employed by a subcontractor.

2. Direct Beneficiaries

To obtain the number of “Planned Beneficiaries,” please refer to the original idea form or to the “Beneficiaries” part of the activity’s Description 1 tab in the Access database. Estimate the number of actual beneficiaries. These must be direct beneficiaries – those who are most closely involved in or directly affected by the activity. (“The entire community” or “the whole state” are not direct beneficiaries; they are indirect beneficiaries because they are not directly affected by the activity.) Of these direct beneficiaries, how many were women? Please put this number in the appropriate part of this section. Now, describe the beneficiaries. Who were they? How were they affected by the activity? [For example: *Planned beneficiaries were 30 youth; actual beneficiaries were 50 youth; number of women participants/beneficiaries was 15; the beneficiaries were young men and women, aged between 15 and 30, who represented three ethnic groups in the trainings*]

3. Beneficiary Performance

Describe how well the beneficiary did at carrying out the activity. Did the beneficiary meet all its responsibilities? Was a final report submitted? If applicable, did the beneficiary submit audio and/or visual documentation related to the activity? If applicable, did the supplier deliver timely and quality goods and/or services?

4. Linkages to Other Activities

Did the activity build on other TIS+ activities or lay the foundation for other activities? Did it link to other organizations’ activities?

5. Budget

For the “Planned Budget” section, obtain the original projected budget amount from the database or from the original activity idea/activity budget submission. For the “Actual Budget” amount, copy and paste the current number from the “Amount Disbursed” section of the “TIS+ Contribution” funding/budget section of the activity’s Overview Tab in the Access database. In the blank below these two sections, compare these numbers. Were there any challenges in following the budget? Were any specific budget lines too high or too low? If any budget

amendments were needed to complete the project, please go into detail about what they involved and why they were necessary.

SECTION C: PIKA OUTCOME

1. Activity Outcome

To what extent has this activity affected the problem we hoped to address? What visible evidence is there that people's attitudes and behaviors have changed? Look at Objective 2 and the Outcome Indicators. Measure and document the Outcome Indicators through observation, interviews, key informants, etc. [For example: *there are a daily average of only 27 youth sitting idle in the market over the course of a week (fewer than the 45 before the activity started), youth have started 3 new construction projects using the skills taught under the activity*]. Note whether other things may have influenced the situation to change the outcome (*ex: another organization started a project very similar to this one at the same time.*)

2. Multiplier Effect

When an activity encourages beneficiaries, participants, communities or other organizations to develop their own initiatives after the initial activity is completed, this is known as a multiplier or catalytic effect. Note any multiplier effects at the time of the evaluation (some may occur later).

3. Unanticipated Consequences

Did the activity have any results (positive or negative) that it was not designed to have?

4. Sustainability

Are technical or material resources needed to sustain the project's results (*ex: fuel, spare parts, mechanical expertise, sewing material*)? If so, does the capacity exist to manage, maintain, or obtain them to continue to benefit from the activity?

SECTION D: LESSONS LEARNED AND FOLLOW ON

1. Lessons Learned: Challenges, Successes and Recommendations

What challenges were encountered during implementation? What successes were realized during implementation? What could have been done differently? Could some other way of working have accomplished more, in terms of producing greater impact? Was anything surprisingly successful?

2. Follow-on Activities

If warranted, what suggestions do you have for future activities building on this activity that was just completed?

ANNEX 10. PIKA EVALUATION FORM TEMPLATE

| A. GENERAL ACTIVITY DATA¹⁷ | |
|--|-----------------------|
| Beneficiary(ies): | Grant/DDGS No: |
| Grant/DDGS Title: | Start Date: |
| | End Date: |
| Grant/DDGS Objectives: | |
| Outcome Indicators: | |

| B. ACTIVITY OUTPUT (What actions took place under this activity?) | |
|---|------------------------------|
| 1. ACTIVITY OUTPUTS | |
| <u>Describe the activity steps and the final output.</u> | |
| 2. DIRECT BENEFICIARIES | |
| Planned Beneficiaries: <u>From idea form or database</u> | Actual Beneficiaries: |
| Number of Women Beneficiaries/Participants: <u>If applicable, include a description of their duties.</u> | |

¹⁷ All information in Section A is generated automatically from the TIS+ Database.

Describe who participated in the project and who benefitted from the project. Explain how you estimated the actual number of beneficiaries.

3. BENEFICIARIES PERFORMANCE

4. LINKAGES TO OTHER ACTIVITIES

Describe any linkages to other grants or other organizations' activities.

5. BUDGET

Planned Budget: From idea form

Actual Budget: Obtain from database.

Did the project finish close to the budget? Discuss any cost amendments that were granted. Were there any challenges in adhering to the budget?

C. ACTIVITY OUTCOME
(What was the benefit of this activity?)

1. ACTIVITY OUTCOME

Discuss the activity's outcomes, if they are evident yet. In addition, evaluate the activity's performance against its outcome indicators, which are listed in the first section of this evaluation. Note any factors that may have influenced the outcome.

2. MULTIPLIER EFFECT

Describe any new activities people started as a result of the activity.

3. UNANTICIPATED CONSEQUENCES (POSITIVE / NEGATIVE)

Describe any evidence of unanticipated consequences, whether positive or negative.

4. CONFLICT SENSITIVITY:

Describe how this activity was sensitive to clan dynamics, other local and regional conflict issues, and indicate how the activity contributed to short or longer term conflict transformation.

5. SUSTAINABILITY

If applicable, does the capacity to maintain, manage, or obtain expertise or resources exist to continue to benefit from the activity?

D. LESSONS LEARNED & FOLLOW ON

1. LESSONS LEARNED: CHALLENGES & RECOMMENDATIONS

Describe challenges and recommendations. What would you have done differently?

2. FOLLOW-ON ACTIVITIES

If warranted, suggest specific follow-on activities.

Form submitted by:

Date of submission:

ANNEX 11. TRANSFER OF TITLE TEMPLATE

USAID TIS+ Transfer of Title

MEMORANDUM

Date: **Today's date**

TO: **Grantee's Representative**
Grantee Organization Name
Address

FROM: TIS+, Nairobi Office

Enclosed is a list of items under Project (**Grant/DDGS number**), (**Activity title**), (**Location**), which have been received in Somalia from USAID's Transition Initiatives for Stabilization Plus (TIS+).

On behalf of TIS+, I wish to present these items to the (**Awardee Organization**), (**Location**), in accordance with the agreement governing the Project. Please indicate your acceptance of these items by returning one signed copy of the attached to my office for our files.

Attachment 1 includes a list of the items that have been purchased for (**phrase describing the activity**), as authorized under USAID's Transition Initiatives for Stabilization Plus (TIS+) AID-623-C-15-00001 with AECOM International Development (xxxx) In accordance with that contract, the items listed are hereby transferred to the custody of (**Grantee Organization**) for use in accordance with the work plan.

cc: USAID East Africa – Somalia Office

Signed on this _____ day of _____, 20____:

Presented by: _____
TIS+ Chief of Party

Received by: _____
Grantee's Representative
Grantee Organization Name
Address

Attachment 1 – List of items

| PIKA # | Item and Serial Number, Phone Number/Airtel, Etc. | Locations | Qty. |
|--------|---|-----------|------|
| | | | |

ANNEX 12. CLOSEOUT REPORT TEMPLATE

Final Closeout Report

Grant or DDGS Number: _____

Grant or DDGS Title: _____

Grantee (if applicable): _____

Program Development Officer: _____

Activity Start Date: _____

Activity End Date: _____

1. Can you confirm receipt of the following outputs and assets:

[Cut and paste the grant deliverables from the database or the idea form and ask the awardee to indicate that each output or asset was received]

2. Were the goods or service received satisfactory? If not, why?

3. Has this activity helped reduced conflict in your area and or increased stability? If so, how?

4. Do you have any suggestions for follow-up activities that could enhance this activity's impact?

5. Do you have any additional comments or feedback that can help improve our performance?

Name

Date

ANNEX 13. ACTIVITY COMPLETION CERTIFICATE TEMPLATE

TIS+ Activity Completion Certificate

Grant/DDGS No.: **XXX**

Grant/DDGS Title: **XXX**

Grantee Name (If applicable): **XXX**

With reference to the Agreement No. (**Grant/DDGS number**) that was entered into with TIS+ in my capacity as the grantee agent, I hereby certify that:

Technical Completion — With reference to all material aspects of our Application with the Activity Agreement, and any subsequent jointly agreed-upon modification(s), my organization certifies the (**add or subtract as necessary**): completion of constructions, completion of deliveries of goods and services, the retrieval of all tools and unused supplies, the payment of technical expertise and community labor and the clearance of all other local bills, with the exception of the following (if nothing is missing, please put ‘NIL’ or leave the field empty):

On Behalf of the Grantee:

On Behalf of TIS+:

Grantee Name
Grantee Title

Marv Koop
Chief of Party

Dated: _____