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EGRP Grants Management and Administration Manual

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Acronyms and Abbreviations

AAPD	Acquisition and Assistance Policy Directive
AIDAR	USAID Acquisition Regulations
ADS	Automated Directives System
COR	Contracting Officer's Representative
CBO	Community-Based Organization
CDC	U.S. Centers for Disease Control and Prevention
CFR	Code of Federal Regulations
COP	Chief of Party
COR	Contracting Officer's Representative
DOS	U.S. Department of State
DUN	Dun & Bradstreet
EFT	Electronic Funds Transfer
EGRP	Early Grade Reading Program
EOI	Expression of Interest
EPLS	Excluded Parties List System
FAAct	Foreign Assistance Act
FAR	Federal Acquisition Regulations
FFATA	Federal Funding Accountability and Transparency Act
FAA	Fixed Amount Awards
FRAA	Foreign Relations Authorization Act
GAAP	generally accepted accounting principles
GDA	Global Development Alliance
GMS	Grants Management System
GON	Government of Nepal
HCG	Host Country Government
IDG	International Development Group
iGAP	International Grants & Procurement
LOA	Letter of Authorization
M&E	Monitoring and Evaluation
MON	Memorandum of Negotiations
NGO	Nongovernmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement

NUPAS	Non-U.S. Organization Pre-Award Survey Guidelines and Support
NXP	Non-expendable Property
OMB	Office of Management and Budget
OFAC	Office of Foreign Assets Control
RFA	Request for Applications
RFP	Request for Proposals
SF-LLL	Disclosure of Lobbying Activities Form SG-IDG Supplemental Guidance for International Development Group
SIG	Simplified Cost Reimbursement Grant
STG	Standard Cost Reimbursement Grant
TEC	Technical Evaluation Committee
USAID	U.S. Agency for International Development
USD	U.S. Dollars
VAT	Value Added Tax

1. Introduction

1.1. USAID's Early Grade Reading Program (EGRP) in Nepal Overview

The EGRP will directly support USAID Forward and USAID/Nepal CDCS goals to reinforce country ownership, strengthen coordination, utilize local systems, and focus on results. The EGRP will strengthen Government of Nepal (GON) capacity and systems required for national scale improvements in early grade reading by demonstrating successful, high-quality EGR interventions in select districts and providing direct budget support (Government-to-Government, or G2G) and Public Financial Management support to enhance service delivery.

RTI has been managing international grant programs in education, local governance, and health for over 15 years. Our grant management systems and award protocols enable us to award, disburse, and monitor grants ranging from \$1,000 to \$15 million and we currently have over 950 active grants across 14 countries. Our Office of Proposal, Project, and Procurement Services (P3) oversees administration of all grant programs implemented by RTI under its USAID contracts and cooperative agreements. To support standardization across projects and compliance with RTI procedures and systems, issuance of our Grants Management and Administration Manual, updated in September 2014, is coupled with an in-country training program for all grant coordinators and project staff. For EGRP, while RTI will financially administer the grants, actual grantee selection and grant awards will be carried out at the country level; and our consortium partners, Plan Nepal and Another Option, will provide technical assistance, training, and oversight to our grantees.

1.2. EGRP Grants Program

The objective of this program is to catalyze support for activities to enhance early grade reading through Parents Teacher Associations (PTA), School Management Committees (SMC) and community-based organizations (CBOs), as well as implementation of standardized early grade reading activities. Under this program grants will be awarded for three types of activities, as follows:

1.2.1 Standardized early grade reading programs through International and Nepali NGOs.

The first type of grants will be awarded to international as well as national NGOs to implement standardized EGR interventions that support replication in 16 target districts where those grantees may have an established presence. The objective of this grant program is to support the GON to harmonize and organize the contributions to early grade reading underway. Eligibility for grants must first be prioritized for implementers in the 16 Target Districts for which the programs meet, or will be funded by the grant to meet, GON standards for NEGRP. Eligibility criteria must include GON replicability and scalability. The requirement for the utilization of local capacity must be a grant criterion. Subject to TOCOR and GON approval and funds availability, the Contractor may extend eligibility to implementers in NEGRP Phase Two districts (outside the 16

target districts). The EGRP Standardization Grant Program may be utilized by the Contractor to accelerate NEGRP implementation. Grants will not be provided to GON entities.

EGRP Standardization Grant Program will support I/NGO implementation of all or part of the early grade reading program, where the Ministry and districts believe there is a natural advantage for I/NGOs. For example, in districts where schools are hard to reach and resource personnel are in short supply, the Contractor will work with I/NGOs to use social mobilizers as an additional teacher and school support resource that otherwise may not be available. Grants administered under this SIR will be tendered through competitive Requests for Applications, similar to an annual program statement assistance program where applicants will be invited to prepare applications in response to a number a thematic areas of support and implementation. These grants will be awarded on a rolling a basis. The Contractor will build the capacity of the Department of Education and districts to provide necessary technical oversight and work with their budget and planning teams to incorporate the funding to I/NGO partners into their recurrent budgets for sustained partnerships.

1.2.2 Community Mobilization Grant Program

The second type of grants will be awarded to local NGOs and/or community-based organizations to implement activities that sensitize and mobilize communities in support of early grade reading and/or to support community awareness and outreach efforts. A portion of grants will be set aside for national advocacy, gender and social inclusion activities, and behavior change and communication efforts. Such grants may be directed toward community-based radio and television outlets.

1.2.3 School-, Village- and Municipal-EGR Improvement Grants

The third type of grants will be awarded to school management committees, as well as village- and municipal education committees to fund school and community improvement plans that will support greater parental involvement, and create more opportunities for pupils to read and learn. Grants to village education committees (VECs) and municipal education committees (MECs) will aim to mobilize and stimulate local resources to align and contribute to early grade reading outcomes. SMCs, VECs and MECs will receive technical assistance and training to develop and implement EGR improvement plans.

1.3. Eligibility Requirements

EGRP grant support may be extended to organizations that meet the eligibility requirements as following:

- 1) International and national non-governmental organizations to implement EGRP standardization programs. Eligibility criteria will include:
 - a. Demonstrated capacity to implement early grade reading programs
 - b. Materials approved by CDC and EGRP technical advisors as meeting minimum quality standards
 - c. Applications meet minimum evaluation criteria for soundness of technical approach, understanding of local context, and qualifications of proposed personnel
 - d. Priority programs will be awarded to applicants that intend to implement in the EGRP

- 16 districts, though considerations will be made to applicants who propose to implement outside the 16 districts.
- e. Demonstrated financial capacity to manage large USG grants or sub-grants portfolio
 - f. Cost realism of the budget
 - g. Past performance
- 2) Nepali NGOs and community-based organizations:
- a. Demonstrated capacity to support community-based parental groups and other education stakeholders
 - b. Demonstrated financial and administrative capacity to manage small-to-medium grants (between \$50,000 to \$500,000)
 - c. Applications that address core program community engagement goals, soundness of technical approach in achieving those goals, qualifications of personnel, and experience supporting community-based education and / or social- and behavior change communications activities
 - d. Cost realism of the budget
 - e. Past performance
- 3) School management committees, village- and municipal education committees:
- a. Bank account for the school, VEC or MEC
 - b. Recognized community school, VEC or MEC entity by either the Ministry of Education or the Ministry of Federal Affairs and Local Development located and functioning in one of the 16 EGRP districts
 - c. Completion of an EGR improvement plan that meets minimum standards (e.g. cost realism, activities that contribute to EGR goals and outcomes, demonstrated participatory prioritization process, clear monitoring and evaluation plan)
 - d. Clear roles and responsibilities identified to serve as the accounting officer at the school, VEC, MEC

1.4 Ineligible Organizations

EGRP grant support may not be extended to the following:

- Organizations that are not legally registered
- A host government entity not included school management committees or local bodies i.e. village education committees and municipal education committees. Unless specifically approved by USAID Contracting Officer.
- Any entity that has been found to have misused USAID funds in the past (unless specifically approved by USAID contracting officer)
- Political parties, groupings, or institutions or their subsidiaries and affiliates
- Any entity whose name appears on the List of Parties Excluded from Federal Procurement and Non-procurement Programs (<http://www.sam.gov/>)
- Any entity with a member that appears on the U.S. Department of Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons list

1.5 Ineligible Activities

EGRP Grant funds cannot be utilized for the following activities;

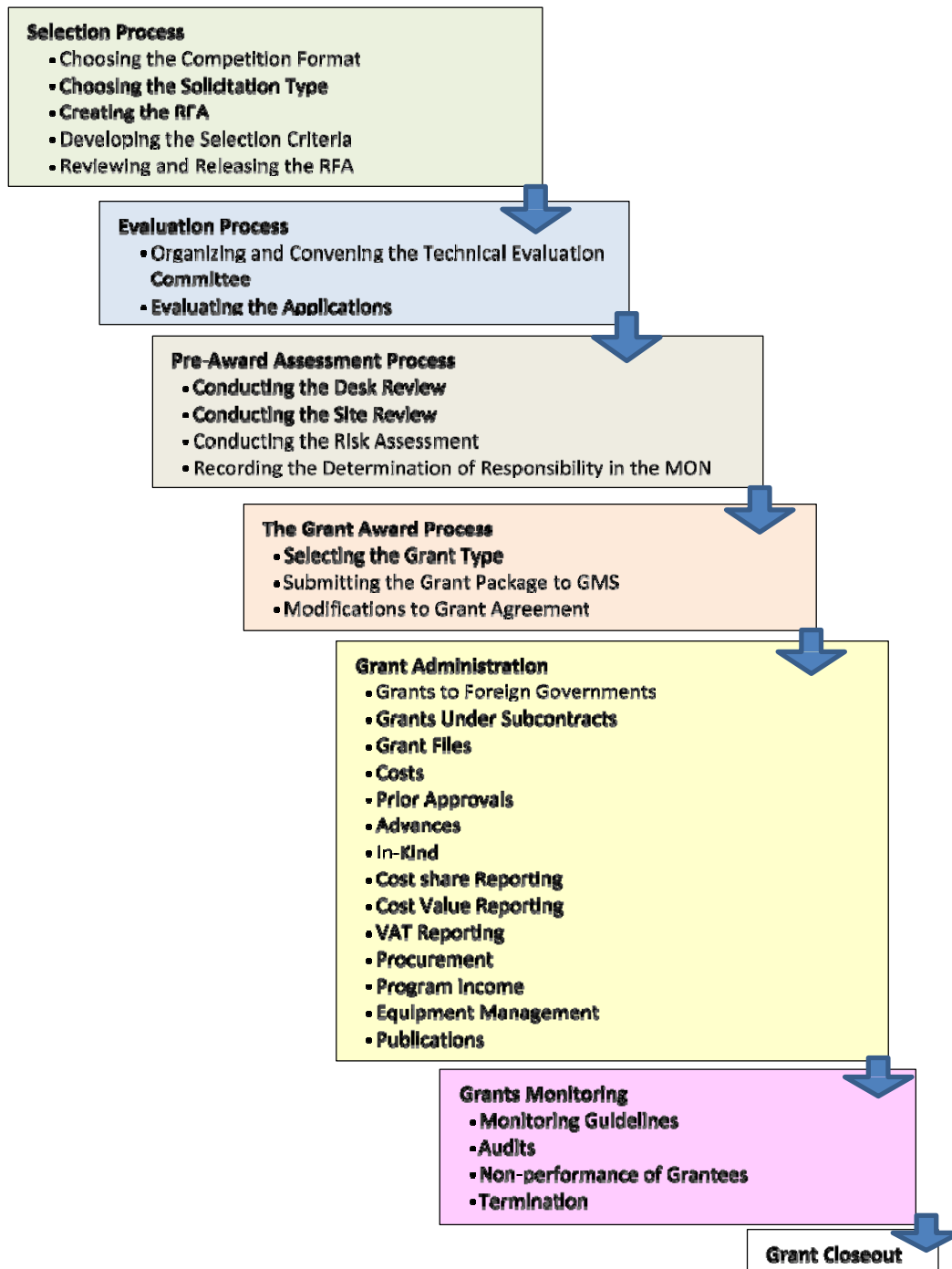
- Purchases of restricted goods, such as agricultural commodities, motor vehicles, pharmaceuticals, contraceptive products, pesticides, used equipment and fertilizers without the previous approval by the USAID Contracting Officer through RTI
- Prohibited goods under USAID regulations, including but not limited to: police or law enforcement equipment, abortion equipment and services, weather modification equipment, luxury goods, and gambling equipment
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/origin/ nationality and other regulations; or from countries or suppliers as may be identified by USAID's consolidated list of debarred, suspended, or ineligible subcontractors at <http://www.sam.gov>
- Construction, infrastructure, renovation, and rehabilitation projects. Definition of “**Construction**” for purposes of this manual means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.
- Other costs unallowable under USAID and/or federal regulation 2 CFR 200 Subpart E.

1.6 Grants Award Process

The administrative procedures outlined in this manual are consistent with guidelines for U.S. Agency for International Development (USAID) funding, and all grants (USAID and non-USAID) should be administered in accordance with these guidelines. When a project is implementing a non USAID–funded grant, the Project Grants Team should work with iGAP to update this manual to reflect relevant client requirements. RTI’s policies and procedures on grant administration should be consistent and in compliance with client policies and procedures. Note that any alterations to the content of this manual made by project staff, whether applying to USAID or non-USAID grants, **must be reviewed and approved in advance by the iGAP Manager.**

A diagram outlining the RTI grants-making process can be found in **Figure 1-1** on the following page. The sections of this manual correspond generally to the steps of the grants-making process and provide guidance regarding grant conceptualization, application, evaluation, implementation, monitoring, and closeout procedures.

Figure 1-1. Grant Award Process



2. Organizational Structure and Systems

This section provides an overview of RTI’s organizational structure and system for grants management, as well as responsibilities for key roles.

2.1 International Grants & Procurement Team

The International Grants & Procurement (iGAP) Team at RTI Headquarters in Research Triangle Park, NC, is the office responsible for corporate oversight of all international grants issued by RTI under programs implemented under USAID and other RTI clients (i.e., donors). iGAP is also responsible for developing and monitoring the implementation of general policies on grants administration. iGAP staff provide guidance and training to projects on all aspects of grants management and administration, from the application process to closeout.

The GMU team is composed of the iGAP Manager and the Regional Grant Managers. The iGAP Manager provides oversight of the Regional Grant Managers, serves in an advisory role on proposals, and has signatory authority above the regional delegation. The Regional Grant Managers support the grant activities/programs within their assigned regions and serve as the day-to-day points of contact for the Project Grants Teams. The Regional Grants Managers also participate in the hiring process for Project Grant Managers.

The signatory on a grant is considered to be the Grant Officer. In situations where a member of iGAP serves as the grant signatory, the iGAP team member should be considered the Grant Officer.

2.2 EGRP Grants Team

At the project level, grant administration is performed by the Project Grants Team, which is expected to coordinate the formation of a project’s grant program following iGAP guidelines. All Project Grants Teams at RTI operate under the oversight of iGAP.

The three key staff roles on the Project Grants Team are as follows:

- **Project Grants Manager:** Serves as the administrator for day-to-day oversight of the grant.
- **Chief of Party (COP):** Serves in a high-level administrative role with responsibility for ensuring that the grants deliverables and goals are met.
- **Project Manager/Coordinator:** Assists the Project Grants Manager and COP in project management tasks, generally from the Home Office (RTI Headquarters).

Table 2-1 presents a matrix outlining the grant administration roles and responsibilities of the Project Grants Team members and the iGAP team.

Table 2-1. Roles and Responsibilities Matrix

Project Team	
Project Grants Manager	<p>Administers the grants program following iGAP policies and procedures. Key tasks include the following:</p> <ul style="list-style-type: none"> • Customizing the RTI Grants Manual, as necessary; final version of manual must be cleared by the Regional Grants Manager in iGAP. • Preparing the Request for Application (RFA) • Processing and tracking grant applications up to award phase (including ensuring Agreement Officer's Representative [AOR]/ Contracting Officer's Representative [COR] approval) • Preparing grant award package, including the Memorandum of Negotiations (MON) • For grants signed in the field, preparing grant agreement and modifications for signature by the COP (if limited signature authority has been delegated by iGAP at RTI Headquarters) • Performing monitoring tasks • Entities like approving invoices of grantees to ensure expenses are in compliance with the grant agreement, client regulations, and iGAP policies and procedures. • Maintaining grant files, and verifying all grant application documents and certifications • Performing closeout of completed grants.
Chief of Party	<p>Oversees the project team and ensures that the project meets all goals and the deliverables schedule. Key tasks include the following:</p> <ul style="list-style-type: none"> • Approving the selection and evaluation process, as well as the selected grantees • Approving the MON and the risk level determination • Executing the grant agreements and/or modifications, in accordance with the COP Delegation of Authority
Project Manager /Project Coordinator	<p>Works in close coordination with Project Grants Manager and COP. Key tasks include the following:</p> <ul style="list-style-type: none"> • Managing the overall funding allocation for grants under project budgets • Processing invoices/advances from grantees paid from iGAP at RTI Headquarters
Finance Manager	<p>Provides financial management and cash disbursement over the grants budget. Key tasks include</p> <ul style="list-style-type: none"> • Reviewing invoices prior to payment to ensure the proper accounting of recorded transactions including advances vs. reconciliations • Disbursing cash payments in accordance with the RTI procedures • Tracking advances to ensure reconciliations are processed within RTI procedures
International Grants & Procurement Team	
Regional Grants Manager	<p>Serves as a resource to and primary point of contact for Project Grants Managers for general grant. Key tasks include the following:</p> <ul style="list-style-type: none"> • Participates in the hiring process and annual performance evaluation of Project Grant Managers • Provides guidance to Project Grants Managers on applicable regulations and use of the RTI Grants Manual • Provides training in grants administration • Reviews grants for compliance in excess of delegated approval authority of COP • Has signature authority, and serves as the signatory for all grants awarded from RTI Headquarters and grants awarded in the field that are above the delegated signature authority of COPs • Processes purchase order requisitions for grants to be paid from RTI Headquarters • Develops/approves project grant manuals and grant-related solicitation documents (RFA)

iGAP Manager	<ul style="list-style-type: none"> • Tracks and informs projects about changes in policies and regulations applicable to grants (USAID ADS 303; 2 Code of Federal Regulations [CFR] 200) • Conducts periodic compliance audit of grants • Provides access and training on systems
iGAP Manager	<p>Provides supervision and oversight of the International Grants & Procurement Team.</p> <p>Key tasks include</p> <ul style="list-style-type: none"> • Develops overall policy on grants administration and approves deviations from established policy • Provides functional oversight of Regional Grant Managers • Has signature authority for grants above the Regional Grant Managers.

2.3 Grants Management System

All grants are maintained in RTI's Grants Management System (GMS), which is an internal database that includes pre-award/application documents, as well as signed grant agreements, modifications, and monitoring documentation. Project staff should enter all grants issued by RTI into the GMS and use it as the central repository and document archive. Use of the GMS by staff is essential to ensure transparency in information available by project, region, and RTI Business Unit.

Major features of the GMS include

- Electronic maintenance of grant files
- Reporting by project/country/program area
- Document monitoring
- Access to delegated grants signed in the field.

Staff can access the GMS from RTI's StaffNet, or directly at <http://staffnet.rti.org/services/contracts/apps/grants/MainMenu.cfm> (Figure 2-1). For more information on how to access or use the GMS, please contact any member of the iGAP team.

Figure 2-1. RTI Grants Management System

The screenshot displays the RTI StaffNet interface for the Grants Management System. At the top left is the RTI International logo and the StaffNet title. A search bar for 'Search staffnet' is located at the top right, with links for 'Staff Directory', 'RTI AIRS', and a help icon. A navigation menu below the header includes 'About RTI', 'Quick Links', 'Forms & Policies', 'Systems', 'Research', 'Services & Support', and 'Collaboration'. The breadcrumb trail shows 'Services & Support > P3 > Grants Management System', and a font size adjustment tool is visible. The main heading is 'Grants Management System - Version 1.1', with tabs for 'Overview', 'Reports', and 'Support'. The 'Overview' tab is active, showing the 'Grants Management System Action Overview' section. This section contains two paragraphs of text explaining user access and record limits. At the bottom of the overview box are links for 'Return to Report Menu' and 'Logoff'.

RTI INTERNATIONAL | StaffNet

Search staffnet

Staff Directory RTI AIRS ?

About RTI Quick Links Forms & Policies Systems Research Services & Support Collaboration

Services & Support > P3 > Grants Management System Font Resize: A A A

Grants Management System - Version 1.1

Overview Reports Support

Grants Management System Action Overview

The items on this page are available only to grants managers in the field and in the home office. You may view details about grants from the "Main Menu" tab above. Please view grants management reports from the "Reports" tab above.

This overview page shows only five items in each category. If there are less than five grants in any category, then you are seeing all of the records. If there are five records in the list, make sure to click "Show All Records" to view the entire list.

[Return to Report Menu](#)

[Logoff](#)

3. Selection Process for Grants

To the maximum extent practicable, and in accordance with the standards provided in this manual, grant awards (the use of the term “grant” or “award” may be used interchangeably throughout this manual) should be based on a **competitive selection process** that seeks applications from all eligible and qualified entities (e.g., organizations, educational institutions, companies) to identify and fund the best activities to achieve program objectives.

The following subsections will review the information and processes associated with the competitive selection process, including the following:

- The two competition formats for grants (Full and Open, or Targeted/Limited)
- The two processes that can be used to solicit grant applications (single-step or two-step process)
- Situations when a grant may be awarded without going through a competitive selection process (i.e., sole-source award).
- The steps for initiation of the grant application process (e.g., creation and release of the Request for Applications/Request for Proposals (RFA/RFP), development of the selection criteria).

3.1 Choosing the Grant Competition Format— Full and Open, or Targeted/Limited

Staff may choose between two formats when conducting a grant competition—Full and Open, or Targeted/Limited. These formats are described more fully below:

- **Full and Open.** In a Full and Open grants competition, the competition is open to all applicants. For this type of solicitation, the competition must be (1) announced through appropriate media, and (2) seek applicants from all eligible and qualified entities.
- **Targeted/Limited.** In a Targeted/Limited grants competition, RTI requests that specific entities participate in the competitive process, rather than the process being open to all applicants. An example of this type of competition would be a grant program that wants to facilitate local capacity building by targeting nascent nongovernmental organizations (NGOs) and community-based organizations (CBOs), or entities that come from specific regions designated as “focus areas,” as part of an overall assistance program. This is also appropriate when eligible entities are known and there is a limited number that would qualify for grant funding.

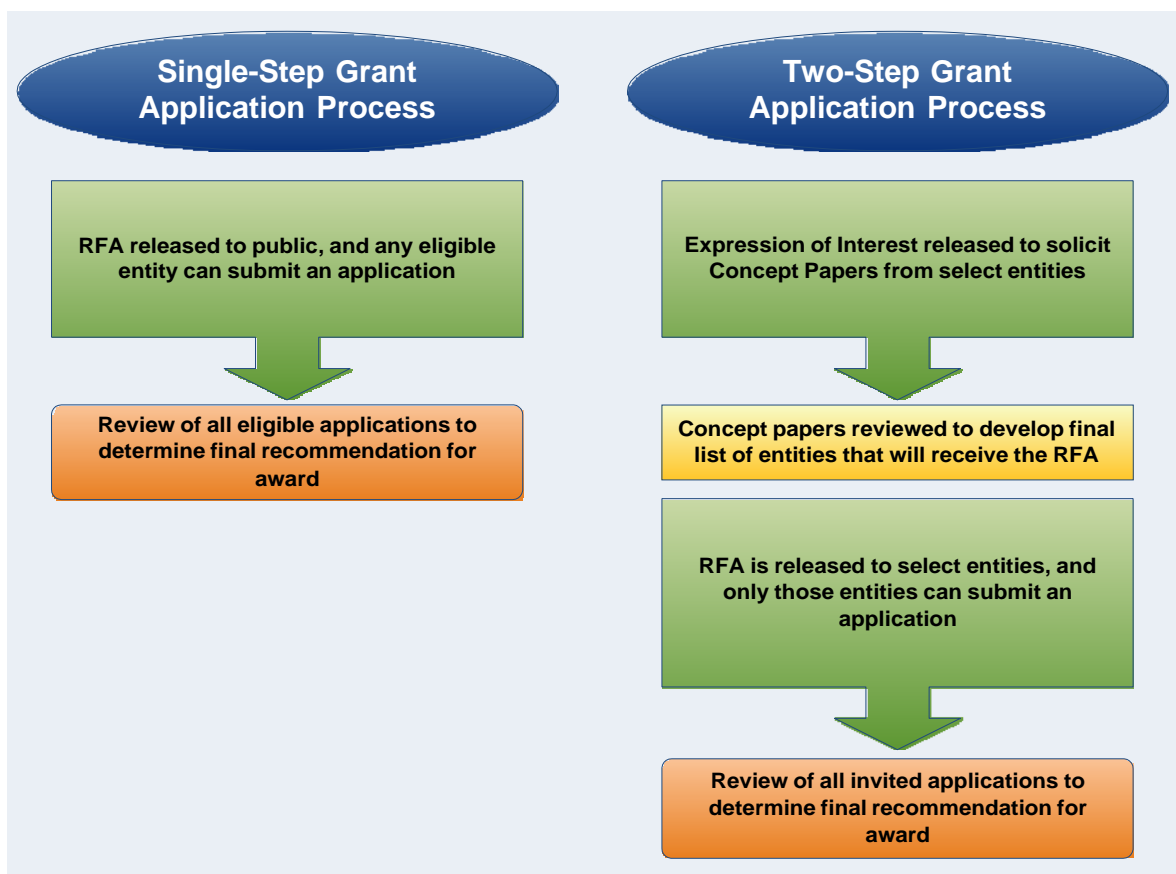
Whether a Full and Open or Targeted/Limited competition format is used, reviewers are expected to conduct an impartial evaluation of applications and to make an objective grant award. More information on the review and evaluation process for competitions is provided in *Section 4* of this manual.

3.2 Choosing the Grant Solicitation Process — Single-Step or Two-Step

As outlined in Figure 3-1, a project may follow either a single-step or two-step process to solicit grant applications:

- **Single-Step Application Process (i.e., RFA Only).** An RFA is the official announcement to the public of the solicitation for applications. Under a single-step process, the project issues an RFA that solicits applications from all eligible entities (see *Section 3.4* of this manual for instructions on creating the RFA).
- **Two-Step Process (Expression of Interest and RFA).** Under a two-step process, a project issues an Expression of Interest (EOI) **prior to issuing the RFA**. An EOI invites entities to submit Concept Papers (2–4 pages) to determine whether the entities may be eligible for a grant under the project. An EOI should request basic organizational information (e.g., technical expertise, staff expertise, past performance) to allow for determination of the applicant’s ability to meet minimum eligibility requirements and to meet targeted project outcomes. Based on review of the Concept Papers, the project selects a short list of entities to receive the full RFA.

Figure 3-1. Single-Step and Two-Step Processes for Solicitation of Grant Applications



3.3 Exceptions to Competition

In certain situations, a competitive grant award process may be waived so that an award is made without competition (i.e., a sole-source award). All sole-source awards must be done in consultation with an iGAP Regional Grants Manager and be based on **one of the following reasons for exemption from competition**:

- The sole-source award is an amendment or a follow-on award to an existing grant for the same activity
- The award recipient has an exclusive or predominant capability (e.g., proprietary resources, specialized facilities, or technical expertise, based on an existing unique relationship with the cooperating country or beneficiaries, or participation in a Global Development Alliance)
- The award is small, with an estimated total amount of \$25,000 or less **and** with a term of no more than 1 year (the award may not be amended either to add funds to exceed \$25,000, nor extended beyond 1 year from the original date of award)
- The award supports a critical objective of the Foreign Assistance Program (see Policy USAID ADS 303.3.6.5).

IMPORTANT NOTE: The two-step process is recommended when it is anticipated that a large number of entities will apply for funding under a project, or that the entities applying will need significant support to finalize the application.

Prior to making a sole-source award, the Project Grants Manager or designated project staff, in collaboration with the Regional Grants Manager, must consult the terms of RTI's Prime award to ensure adherence with any specific competition requirements mandated by the client. In addition, the Project Grants Manager must prepare a written justification for the sole-source award that outlines the reason for the exemption from the competitive process and insert in into the Memorandum of Negotiations (MON).

Policy Reference: [USAID ADS 303.3.6.5](#).

3.4 Completing the Grant Application Form and Creating the RFA Solicitation

The Project Grants Manager and the project team are responsible for creating the RFA. The RFA describes the grant opportunity and provides project, funding, and timeline details so that organizations may submit applications for grant funding.

The RFA must also provide RTI's standard Grant Application Form (see *Attachment A1*) for applicants to use when applying for grant funding. RTI requires that all grant applicants use the Grant Application Form, including all form attachments and required

Supporting documents discussed in this section:

- **Grant Application Form**
(Attachment A1)
 - **Management Systems Questionnaire (under \$150K)**
(Attachment A2)
 - **Management Systems Questionnaire (under \$150K)**
(Attachment A3)
-
-

certifications—when applying for grant funding under an RTI project.

The Grant Application Form should include a completed Management Systems Questionnaire. There are two versions of the Management Systems Questionnaire. The first version of the Management Systems Questionnaire is a simplified questionnaire for grant awards that are at or under \$150,000 (see *Attachment A2*); the second version of the Management Systems Questionnaire is a more in-depth questionnaire for grant awards that are over \$150,000 (see *Attachment A3*). If the prospective grantee does not submit a grant application or selected other than Open competition, the MSQ is still a requirement to be completed and reviewed as part of the pre-award stage.

Note that when including the Grant Application Form in the RFA, projects may supplement the form with additional requirements outside of those requested, **but no section of the form may be deleted from a solicitation without prior review and approval of iGAP.**

An RFA that effectively communicates the components of a grant project and the application process includes the following information, as needed:

- Minimum eligibility and qualification requirements;
- A general description of the overall program, with an indication of the range of activities that might be involved and any established goals to be achieved by the program. While there is no mandatory, standard format for program descriptions, program goals should be results-oriented. A result is **a significant, intended, and measurable change in the condition of a beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly.** Results are linked by causal relationships: i.e., a result is achieved because related, interdependent result(s) were achieved.
- Weighted selection criteria for evaluating applications, including an indication of their relative importance. Information on creating the selection criteria is provided in *Section 3.6* of this manual. Note that solicitations **should not contain minimum qualification or evaluation criteria/selective factors that require “prior client experience.**
- A statement that the grant will be administered in accordance with the applicable client regulations. For USAID, these regulations will include the flow-down of *Standard Provisions for U.S. and Non-U.S. Nongovernmental Recipients.*
- An estimate of funds available for the grant and the number of awards anticipated.
- A request for a detailed, line-item budget accompanied by a budget narrative explaining all costs.
- The minimum cost-sharing element percentage, whether it is required or suggested, and the impact of the proposed cost-sharing percentage on the award decision (generally, this is applicable only under RTI Cooperative Agreements).
- The expected duration of support or the period of performance.
- The requirements and expectations regarding results, indicators, monitoring, and reporting.
- The deadline for submitting the application, and the consequences of late submission.

- A request for the name, address, and other contact information of at least three past performance references, as required by the Grant Application Form.
- Point of contact information for the applicant, including a key person's name, title, address, and phone number.
- Required certifications.
- Any other requirements.

The Project Grants Manager should consult RTI's Prime award for further guidance or requirements that may need to be included in the RFA. Often times, a grant must be provided prior approval by the client before execution of the grant award.

3.4.1 The RFA Template

RTI has created an [RFA Template](#) (see *Attachment A4*) for use by Project Grants Teams to ensure that the RFA solicitation provides the specifics of the award, includes all necessary components, and informs applicants about the information requested in the Grant Application Form.

Supporting documents discussed in this section:

- RFA Template (*Attachment A4*)
-
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Additional guidance on developing RFAs can be found in the [USAID Sourcebook: Results Oriented Assistance](#). In addition, iGAP staff can provide examples of past RFAs for project review.

3.4.2 Certifications, Assurances, and Other Statements of the Applicant for USAID-funded Grants

For USAID projects, the Grant Application Form provided in the RFA should incorporate any certifications required for the type of organization, level/type of funding, flow down from the Prime award, or work that will be performed for the grant.

Table 3-1 provides guidance on required certifications for U.S. and Non-U.S. organizations. For Non USAID-funded grants, RTI's Prime award should be consulted for mandatory flow downs that should be incorporated into the application process or grant award. The subsections following **Table 3-1** provide additional information on various types of certifications.

**Table 3-1. Look-up Guide for Required Certifications and Assurances
(USAID/U.S. Government Funding)**

Types Of Certificates/Assurances	U.S. Organization	Non-U.S. Organization
Certification Regarding Terrorist Financing	Required	Required
Certification on Lobbying (SF-LLL)	Required if grant exceeds \$100,000	Required if grant exceeds \$100,000
Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals	See footnote ¹	See footnote ¹
Key Individual Certification—Narcotics Offenses and Drug Trafficking	See footnote ¹	See footnote ¹
Participant Certification—Narcotics Offenses and Drug Trafficking	See footnote ¹	See footnote ¹
Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs	Required	Required if the program is partly undertaken in the United States
Certification of Compliance with the <i>Standard Provision</i> “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking”	Required if HIV/AIDS funds are obligated.	Required if HIV/AIDS funds are obligated

¹The requirement applies only to those subrecipients specifically designated by USAID to receive or provide more than \$100,000 in “covered assistance.” See **Section 4.2.4**, below. Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient selected by another party, or joint selection by USAID and another party, is not designation. See USAID ADS 206.

3.4.2.1 Certification Regarding Terrorist Financing

The Anti-Terrorism Certification is a worldwide USAID requirement (see Acquisition and Assistance Policy Directive [AAPD] 04-14) and applies to USAID grants and cooperative agreements to U.S. and Non-U.S. NGOs applying for USAID grant funds. The purpose of the certification is to provide USAID with assurances that an NGO is not providing assistance to organizations that provide or have provided assistance to terrorists or for terrorist activity.

The latest version of the Anti-Terrorism Certification can be found at <http://www.usaid.gov/sites/default/files/documents/1861/Anti-Terrorism%20Certificate.pdf>

All USAID applicants are required to submit this certification, and Project Grant Managers must obtain the certification prior to making an award. Project Grant Managers (or other project staff with responsibility for grants management and administration) must also verify that the prospective grantee (individual or entity) does not appear on the master list of Specially Designated Nationals and Blocked Persons maintained by the Office of Foreign Assets Control (OFAC) of the U.S. Department of Treasury, or the Master list of the United Nations Security Council Committee (i.e., “1267 Committee”). See **Section 5.1.2, Grantee Vetting**, for instructions on the process for checking these lists.

In the certification, references to providing material support and resources will not be deemed to include furnishing USAID funds or USAID-financed commodities to the ultimate beneficiaries

of USAID assistance (e.g., recipients of food, medical care, micro-enterprise loans, and shelter, among others) *unless* RTI has a 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.

3.4.2.2 Certification and Certification and Disclosure Form for Restrictions on Lobbying (SF-LLL)

The Certification and Certification and Disclosure Form for Restrictions on Lobbying (SF-LLL) is required only for grants in excess of \$100,000 (U.S. dollars [USD]). Further guidance can be found in 22 CFR 227. The Anti-Terrorism Certification and the Disclosure Form for Restrictions on Lobbying can be found in *Attachments B and C* of this document.

3.4.2.3 Drug Trafficking Certifications

Prohibition on Assistance to Drug Traffickers (see the following section for applicability information on Covered Assistance, Covered Countries, and Covered Participants) involves the following certifications:

- Key Individual Certification—Narcotics Offenses and Drug Trafficking; and
- Participant Certification—Narcotics Offenses and Drug Trafficking.

Policy Reference: USAID ADS 206.3.10.

3.4.2.4 Policy Section 487 of the U.S. Foreign Assistance Act (FAAct)

This policy requires that reasonable steps be taken to ensure that assistance is not provided to or through drug traffickers or persons with narcotics convictions. "Key individuals" of certain entities and covered participants must provide the certifications referenced below before the grant is signed:

- **Key individuals.** A key individual is defined as an official of a public or private entity who is receiving assistance and who may be expected to principally control or benefit from the assistance, e.g., the principal operating officer of a firm. In the case of U.S. NGOs, the key individual is the in-country Project Manager or similar official principally responsible for administration of the USAID-financed activity. In cases where there is no in-country presence, there is no requirement to identify U.S.-based key individuals.

In light of the many types of organizations and scopes of agreements, it is difficult to set forth any definitive criteria for the identification of key individuals of non-U.S. NGOs. For example, when a grant is not a substantial part of the total support of the organization, the key individual is normally the Project Manager or another in-country person principally responsible for administration of the grant. In contrast, if USAID grants are a substantial portion of an in-country, non-U.S. NGO's support, the key individuals are typically the in-country principal officers of the organization. Key individuals of U.S. and non-U.S. NGOs must complete the Key Individual Certification (or a substantive alternative) before agreements providing covered assistance are signed. The certification can be downloaded from the following location
<http://www.usaid.gov/ads/policy/200/20657m1>

- **Covered assistance.** Covered assistance is considered a contract, grant, cooperative agreement, guarantee, or other agreement in a covered country that meets the criteria relating to amount, funding source, and recipient. For more information, go to <http://www.whitehouse.gov/the-press-office/2013/09/13/presidential-determination-major-drug-transit-and-drug-producing-countries>.
- **Covered countries.** Covered countries are those identified annually by the U.S. President as major, illicit, drug-producing, or drug-transit countries under section 706(1) of the Foreign Relations Authorization Act (FRAA), fiscal year 2003 (Public Law 107-228), as well as any country or portion of a country that the U.S. Department of State determines is to be treated as a covered country under the 487 Policy Regulations. As of September 2013, the President has identified the following countries as covered countries: **Afghanistan, The Bahamas, Belize, Bolivia, Burma, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Haiti, Honduras, India, Jamaica, Laos, Mexico, Nicaragua, Pakistan, Panama, Peru, and Venezuela.**
- **Covered participants.** A covered participant is a USAID-financed participant (including in-country) receiving a scholarship, fellowship, or other structured training of more than 6 hours, but only where USAID specifically approves the individual participant. Individuals receiving assistance at any tier, and regardless of the cost of training, are covered participants. In other words, the procedures apply whether USAID is funding and administering training directly, through host governments, or through NGO implementing entities. There is no monetary threshold for covered participants.
- **Subrecipients.** The 487 Policy Regulations apply only to those subrecipients who are specifically designated by USAID to receive or be provided with more than \$100,000 USD in covered assistance. Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient selected by another party, or joint selection by USAID and another party, does not constitute designation.

3.4.2.5 Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs

For U.S. organizations, a signed copy of this certification is required. This certification is applicable to non-U.S. organizations only if any part of the program will be undertaken in the United States.

Policy Reference: USAID ADS 303.3.8(a).

3.4.2.6 Certification of Compliance with Standard Provisions Entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking”

This certification is required when financing HIV/AIDS activities.

3.5 Developing the Selection Criteria

Each project may develop its own selection criteria based on the objectives of the program and the relevant evaluation mechanisms that meet those objectives. The criteria must also address the importance of the technical and/or administrative elements.

The selection criteria should, at minimum, include a review of the following:

- The technical merits of the application (e.g., Are the goals realistic? How will the grant help achieve the overall goals of the program? Who are its beneficiaries? Is it reaching target sectors/population?);
- The cost effectiveness and cost realism of the budget; and
- The past performance of the applicant in the management and outcomes of previous programs.

It is not necessary to quantify the relative weight of the criteria in the RFA, but the relative importance of the criteria should be indicated. If not indicated, then all selection criteria should be equally weighted.

Policy Reference: USAID ADS 303.3.6.2.

3.5.1 Additional Guidance Regarding USAID Substantial Involvement

For grants under contracts, USAID must be directly involved in establishing the selection criteria and approving the actual selection of grantees. USAID will also have the reserved right to unilaterally terminate grants under contracts in extraordinary circumstances.

For grants under cooperative agreements, substantial involvement of USAID, as exercised through the USAID AOR, applies to RTI as the recipient under the cooperative agreement. As part of USAID's substantial involvement in the relationship with RTI, USAID may require the AOR's concurrence on the selection of grantees or other approval requirements outlined in the Prime Award.

Policy Reference: USAID ADS 303.3.11 and USAID ADS 302.3.4.13

Documentation of any COR approvals of the selection criteria or the selection for award should be retained in the grant files. For other funding mechanisms (other than USAID), RTI's client may choose to participate in the evaluation process by assisting with establishing the selection criteria or participating as a member of the Technical Evaluation Committee (TEC, see ***Section 4.1***).

3.6 Reviewing and Releasing the RFA

The Project Grants Manager must review the application process and the RFA with iGAP prior to releasing the RFA for competition.

At a minimum, projects should release the RFA at least 30 days before applications are due; however, based on the complexity of the information to be submitted in response to the RFA, a project may allot a time period longer than 30 days for proposal submissions.

4. Evaluation Process

RTI uses a systematic evaluation process to determine an applicant's merit based on the selection criteria defined in the RFA. This process provides for decision-making of grant applications that will be selected for funding under the guidelines provided in this manual.

The following subsections will review the information and processes associated with the evaluation process, including:

- The steps for organizing and convening a TEC, including who should serve as TEC members and how to ensure that members do not have a conflict of interest with evaluating the applications
- The process for conducting the evaluation.

4.1 Organizing and Convening the Technical Evaluation Committee

The project will organize and convene a TEC to review all applications and make the final recommendation for award to the client. The TEC should evaluate all applications that meet the minimum selection criteria established in the RFA.

Members of the committee may include, but are not limited to, the following individuals:

- COP
- USAID/Client representative
- Technical Advisor
- Cooperating Country/Ministry Counterpart
- Project Grants Manager.

4.1.1 Conflicts of Interest Certifications

Projects must conduct an impartial review and evaluation of all applications. Thus, members of the TEC should not have any conflicts of interest, or the appearance of such, with the organizations whose applications are under review.

An individual is considered to have the appearance of a conflict of interest if that person, or that person's spouse, partner, child, close friends, or relatives, work for, are negotiating to work for, or have a financial interest in (including being an unpaid member of a Board of Directors) any organization that submits an application that is under the TEC's review. In addition, members of the TEC may neither solicit nor accept gratuities, favors, or anything of monetary value from applicants.

Prior to receiving any grant applications for review, the members of the TEC must sign a Conflict of Interest Certification (see **Attachment A5** of this manual) certifying that they do not have a conflict of interest. In cases where a possible conflict of interest is indicated, the COP should carefully review the situation, in consultation with the client, to determine the appropriate

Supporting documents discussed in this section:

- **Conflict of Interest Certification (Attachment A5)**
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action required to avoid or mitigate the conflict and to ensure impartiality in the award of grants under the program. RTI's Code of Conduct, which all RTI employees must acknowledge annually, addresses conflict of interest more thoroughly. For more information or reporting a possible conflict of interest violation, project staff or grantees may email ethics@rti.org

4.2 Evaluating the Applications

The TEC must prepare a written evaluation of each application that compares the application to the established selection criteria. If no numerical values have been assigned to the selection criteria, the comparison will be entirely narrative. The narrative should explain each application's strengths and weaknesses as compared to the selection criteria established prior to commencement of the selection process.

When the grant applications are submitted under a competitive process (Open or Limited), the project should develop a Bid Tabulation Sheet that records each grant application submitted, indicates whether the grant application was selected or rejected for funding, and provides summary of strengths/weaknesses of each application. This information should be maintained in the grant file.

After the initial review of the grant application, applicants that meet the minimum criteria may need to respond to questions or gaps identified in the submitted applications. The Project Grants Manager should maintain documentation of written communication in the grant file of the initial application, as well as corresponding amendments or subsequent submissions to the original grant application. If an applicant is unable to submit the documents, or if subsequent submissions do not meet the TEC criteria, the applicant will be informed of its non-selected status. The non-selected applicants are notified in writing by the COP and maintained in the project files until closeout.

A non-competitive grant selection process should document the justification for lack of competition using the exceptions identified in *Section 3.3*. In addition, a non-competitive grant selection process should still entail an evaluation of the technical merits of the application, as defined in *Section 3.5*, above.

4.3 Documenting the Process in the Memorandum of Negotiations

A MON is used to document the selection and resulting negotiations with the selected grantee. The MON should describe the selection and evaluation process and identify the competitive or non-competitive process followed, as discussed above.

The MON should be continuously updated throughout the solicitation, pre-award assessment, and award process. Project Grant Managers are encouraged to “write as they go” leading up to an award to capture important discussions, meeting minutes, budgetary and programmatic revisions, and other transactions/communications with the grantee. Upon award to a grantee, the MON must be signed by the COP and Project Grants Manager as the internal approval to issue the grant award and must be submitted with the grants package to RTI Headquarters.

The MON must include the following:

- Brief description of grant program
- Description of the solicitation and selection process
- Technical evaluation
- Past performance references
- Responsibility determination and risk assessment
- Rationale for grant type
- Initial and final budget with cost analysis
- Monitoring and Oversight Plan.

A Memorandum of Negotiations Template is provided in *Attachment A6* of this manual.

Supporting documents discussed in this section:

- **Memorandum of Negotiations (Attachment A6)**
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5. Pre-Award Assessment

After a potential grantee is recommended for award, the Project Grants Manager must conduct a pre-award assessment to ensure that the applicant has the capacity to adequately perform the tasks associated with the award.

The potential grantee's performance should be assessed in accordance with the principles established by the RTI Grants Management Policy and the policy of the funding agency, such as USAID and 2 CFR 200, U.S. Centers for Disease Control and Prevention (CDC), U.S. Department of State, and others. While 2 CFR 200 does not cover awards to Non-U.S. recipients, USAID ADS 303.3.9.1(b)(2) prescribes the same standards to determine whether a Non-U.S. recipient is responsible.

An award can be made only after RTI makes a positive determination of responsibility for the potential grantee, meaning that the organization possesses, or has the ability to obtain, the necessary management competence to carry out the grant activity and will practice mutually agreed upon methods of accountability for funds and other assets funded by USAID or other agencies. The pre-award assessment must result in a determination about the recipient's ability, or potential ability, to comply with the following items in the 2 CFR 200:

- Financial management requirements (2 CFR 200.300-309):
 - To ensure that the potential grantee's accounting, recordkeeping, and overall financial management systems meet the applicable standards in 2 CFR 200.300-309.
 - To determine if the potential grantee's system of internal controls, including segregation of duties, handling of cash, contracting procedures, and personnel and travel policies, is reasonable and conducted in accordance with the applicable cost principles.
- Property standards, if equipment will be procured using USAID funds (2 CFR 200.310-316);
- Procurement standards, if procurement is significant to the award (2 CFR 200.317-326); and
- Reports and records requirements (2 CFR 200.327-329, 333-337).

The Project Grants Manager will conduct a pre-award assessment to assess the level of risk and to make a Determination of Responsibility (per USAID ADS 303.3.9) regarding the potential grantee. The pre-award assessment involves a number of data gathering methods, including the following:

- A **desk review** to
 - Review the potential grantee's Management Systems Questionnaire (submitted as part of the Grant Application Form)
 - Vet the potential grantee to ensure that the entity is eligible for a grant under U.S. Government awards
 - Assess the anticipated Indirect Cost Rates
 - Complete additional review requirements based on other USAID/client-specific guidance and tools for pre-award assessment.
- A **site review** to gather additional information on the potential grantee's capabilities and to observe the functionality of the organization's managerial systems first hand.

5.1 Conducting the Desk Review

5.1.1 Management Systems Questionnaire

To begin the pre-award assessment, the Project Grants Manager should review the potential grantee's answers to the Management Systems Questionnaire. The questionnaire gathers information on whether and how the potential grantee meets the standards of responsibility, which allows RTI to assess the risk level of the organization by examining and assessing the potential grantee's management systems for the following controls:

1. **Authorization.** Authorization controls provide reasonable assurance that transactions, events from which they arise, and procedures under which they are processed are authorized in accordance with laws, regulations, and management policy.
2. **Approval.** Approval controls provide reasonable assurance that appropriate individuals approve recorded transactions in accordance with established policies and procedures.
3. **Segregation of Duties.** Segregation of Duties controls are designed to reduce the opportunities for an individual to perpetrate and/or conceal errors or irregularities in the normal course of their duties.
4. **Design and Use of Records.** Design and Use of Records controls provide reasonable assurance that transactions and events are properly recorded.
5. **Safeguards over Access to and Use of Assets and Records.** Access controls are designed to protect assets and records against physical harm, loss, misuse, or unauthorized alteration. These controls restrict unauthorized access to assets and records.
6. **Independent Checks.** Controls in this category provide independent checks on the validity, accuracy, and completeness of processed data.
7. **Valuation of Recorded Amounts.** These controls provide assurance that assets are valued at appropriate amounts.
8. **Summarization of Accounting Data.** Controls in this category provide assurance that transactions are accurately summarized and that any adjustments are valid.
9. **Assets and Liabilities.** These controls provide assurance that (1) the organization owns recorded assets, with the ownership supported by appropriate documentation; (2) the organization has the rights to its assets at a given date; and (3) the recorded liabilities reflect the organization's legal obligations at a given date.
10. **Presentation and Disclosure.** Controls in this category are designed to provide assurance that (1) accounts are properly classified and described in the financial statements; (2) the financial statements are prepared in accordance with applicable accounting principles; and (3) footnotes contain all information to be disclosed.

At RTI's discretion, applicants may be asked to provide the following documentation, in addition to submitting the Management Systems Questionnaire:

- Copies of the potential grantee's financial statements for the previous 3-year period that have been audited by a certified public accountant or other auditor recognized by RTI;
- Projected budget, cash flow, and organizational chart;

- Copies of policies and procedures on accounting, purchasing, property management, and personnel; and
- Copy of Legal Registration.

The additional documentation is not required for Fixed Amount Awards (FAAs) and Simplified Cost Reimbursement Grants (SIGs) up to \$150,000 USD. However, RTI may require such documentation from organizations new to USAID (U.S. or non-U.S.) or from organizations with outstanding audit findings.

5.1.2 Grantee Screening

To be eligible for a grant under U.S. Government awards, potential grantees must not be included in the *Excluded Parties List System* (EPLS; www.sam.gov). The EPLS is an electronic, web-based system that identifies those parties excluded from receiving Federal contracts, certain subcontracts, and certain types of Federal financial and non-financial assistance and benefits. Project Grants Managers are responsible for checking the name of the prospective grantee against the EPLS to ensure that the entity is not suspended or debarred from working with the U.S. Government.

To document the status of prospective grantees against the EPLS, Project Grants Managers should access the Bridger Insight website at <https://bridgerinsight.lexisnexis.com/BrowserClient/Login.aspx> to run a debarment report. A copy of a debarment report for the organization, printed from Bridger Insight, should be included in the grant file. Project Grant Managers can request a Bridger Insight verification account from the iGAP Manager. By using Bridger Insight, RTI has completed its due diligence requirement to screen all prospective grantees.

This database should be used for all funding types and not exclusively under USG funded prime awards.

For multi-year grants, projects should run an updated Bridger Insight report on an annual basis and include a copy of the report in the grant file.

5.1.3 Indirect Cost Rates

Indirect costs are operational costs that cannot be directly identified with a single grant. This term is also referred to as “overhead” or “shared costs.” Some examples of indirect costs include office space rental, utilities, and clerical and managerial staff salaries.

There are various ways to budget these costs, based on the grant type being used, as discussed in the following subsections.

5.1.3.1 Indirect Costs under Standard Cost Reimbursement Grants

The Project Grants Manager should review applications for Standard Cost-Reimbursement Grants (STGs) to ensure that, for indirect costs included in the grant budget as a percentage (i.e., 10%), the potential grantee has provided either (a) a Negotiated Indirect Cost Rate Agreement (NICRA) or (b) If the apparently successful applicant has never received a negotiated indirect cost rate, the recipient may choose to charge a de minimus rate of 10% of modified total direct costs (see 2 CFR 200.414(f)). If the prospective applicant chooses the de minimus rate, the Project Grants Manager shall incorporate the 10% indirect cost rate in the award budget and the recipient must follow the requirements in 2 CFR 200.414(f) As described in 2 CFR 200.403,

costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both.

Figure 5-1 outlines the documentation required for potential grantees applying for an STG. This documentation should be submitted to the iGAP Senior Grants Manager and Office of the Vice President for Finance (IDG) as part of the grants package.

Figure 5-1. Required documentation for indirect costs under STGs

Past Recipients of US Aid or Other U.S. Government Assistance Awards		Organizations New to USAID
<p>U.S. Organizations</p> <ul style="list-style-type: none"> Schedule of proposed indirect cost rates and basis of calculation, or a copy of the NICRA, if available. A-133 or similar audits. 	<p>Non-U.S. organizations</p> <ul style="list-style-type: none"> Schedule of proposed indirect cost rates and basis of calculation, or a copy of the NICRA, if available. Audits performed in accordance with ADS 591.3.4.2. 	<p>(U.S. and non-U.S.), or those with outstanding audit findings.</p> <ul style="list-style-type: none"> Schedule of proposed indirect cost rates and basis of calculation; Copies of the applicant's financial statements for the previous 3-year period that have been audited by a certified public accountant or other auditor recognized by RTI; Projected budget, cash flow, and organizational chart; and Copies of policies and procedures on accounting, purchasing, property management, and personnel.

5.1.3.2 Indirect Costs under Fixed-Amount Award and Simplified Cost Reimbursement Grants

For review of indirect costs under FAAs and SIGs, the Project Grants Manager should ensure that indirect costs have been converted and shown as direct costs broken down by line item/unit values in the potential grantee's budget. In addition, the potential grantee must provide a justification for how the shared costs were allocated amongst funding sources.

IMPORTANT NOTE: If an applicant has not submitted the required documentation, then indirect costs included in budgets as a percentage cannot be approved. A suggested alternative is to find a fair and reasonable method to charge RTI's grant a proportionate share of the grantee's administrative costs. The basis for allocating shared costs is most often calculated on a percentage of total revenue or annual operating budget. This situation should be re-evaluated on an annual basis for multi-year awards.

5.2 Conducting the Site Review

To better assess the prospective grantee's capabilities and the level of risk, the Project Grants Manager is encouraged to conduct an internal systems review at the grantee's office (i.e., a site visit). The site review is required for grants in excess of \$250,000 USD and is strongly recommended for organizations considered to be high risk (see *Section 5.4* for information on

Supporting documents discussed in this section:

- **Site Visit Assessment Tool (Attachment A7)**
-

assessing risk). The Project Grants Manager may also conduct a site visit to gather additional information and to observe the functionality of the managerial systems first hand.

Based on the site visit findings, a potential grantee may require specific instructions on needed improvements to ensure proper handling of grant funds, and special provisions should be included in the grant agreement. A Site Visit Assessment Tool is provided in **Attachment A7** to assist Project Grants Managers with the site visit review.

An outside audit firm may be required to audit the applicant's financial records. Note on grantees awarded FAAs: Given that the disbursement of funds under the FAA mechanism is based upon the completion of grant milestones that are quantifiable and not the compiling of receipts for reimbursement, it is not necessary to implement special award conditions for deficient financial systems, unless the deficiency would impair the grantee's ability to report on completion of milestones. Recommended approaches to high-risk grantees are discussed later in this manual.

5.3 USAID-Specific Guidance and Tools for Pre-Award Assessment (this will include USAID ADS 591, FFATA, NUPAS)

The *Recipient Control Environment Checklist* found in USAID ADS 591 is another tool that the Project Grants Manager should use to identify specific conditions that may indicate weaknesses in the applicant's management systems. This tool allows RTI to determine the risk level of the prospective grantee to implement the grant project. The checklist can be downloaded from: <http://www.usaid.gov/sites/default/files/documents/1868/591.pdf>.

For non-U.S. organizations that have been identified as current recipients or that will be able to qualify for direct funding from USAID/the U.S. Government, it is highly recommended that the [USAID ADS 303 Non-U.S. Organization Pre-Award Survey Guidelines and Support \(NUPAS\) tool](#) be used to assess the potential applicant, rather than the Management Systems Questionnaire or the Site Visit Assessment Tool.

5.3.1 U.S. Government-funded Federal Funding Accountability and Transparency Act (FFATA) of 2006

Under the Federal Funding Accountability and Transparency Act (FFATA), recipients must report to the U.S. Government each subaward (i.e., grant) that obligates \$25,000 USD or more in Federal funds to other subrecipients. This is effective for all subawards issued after October 1, 2010.

Additionally, compensation for subawardee's executive staff members for those organizations that receive more than \$25 million USD or more in annual gross revenue from the U.S. Federal Government must be reported. If any grantees meet these criteria, iGAP will advise what is required for reporting.

The U.S. Government has established a website to submit the required reporting. The data to be reported on the website include the organization's name, address, Dun & Bradstreet (DUNS) number (#), grant title/description, award amount, and period of performance. iGAP uses the data uploaded into the GMS to submit the required reports.

Project Grant Managers are expected to work closely with grantees to obtain the DUNS Number. Instructions for obtaining a DUNS number are provided in the Grant Application Form (see

Attachment A1). Note that **GRANT MANAGERS MUST NEVER** request a DUNS Number on behalf of a grantee.

5.4 Conducting the Risk Assessment

After completion of the desk and site reviews, the Project Grants Manager should review the findings as part of a risk assessment to determine the potential grantee's level of risk. Risk assessments are a necessary part of the pre-award process because they help RTI determine whether a potential grantee is responsible (i.e., Determination of Responsibility [USAID ADS 303.3.9]). If an iGAP Manager is the Grants Officer for the grant (i.e., the signatory for the grant), then that individual should also review and evaluate the risk level and make adjustments if needed.

In carrying out the risk assessment, the Project Grants Manager should review and evaluate the grantee based on common characteristics that describe a low- or high-risk grantee, such as those shown below in **Table 5-1**. Characteristics of risk can be specific to an organization and the nature of the grant relationship, and both should be considered when making a risk-level determination.

For example, operational deficiencies are linked to the risk of an organization's ability to perform the work, whereas large dollar value grants or extremely politically complex activities are linked to the risk of the grant relationship. Local conditions, the applicant's technical and operational capabilities, and the type of program will impact the determination of the risk level. Reference checks for an organization's past performance may also affect the determination of the organization's risk level.

Table 5-1. Characteristics of low and high risk.

Low Risk Characteristics	High-Risk Characteristics
<ul style="list-style-type: none"> ▪ Type of grant contemplated (e.g., FAAs are lower risk) ▪ Lower dollar-value grants ▪ Audited financial statements with no or minor findings ▪ Annual audited indirect rates and/or approved NICRA ▪ No advances ▪ Payment via electronic funds transfer (electronic funds transfers (i.e., EFTs)/wires) ▪ Direct costs only and no overhead ▪ Trained staff with low turnover ▪ Strong internal controls ▪ Strong control environment ▪ Single locations with easy access ▪ Strong monitoring systems ▪ Outsources services to reputable firms ▪ In compliance with International Accounting Standards ▪ Fully complies with local tax and reporting needs ▪ Submits timely reports 	<ul style="list-style-type: none"> ▪ Higher dollar-value grants ▪ Qualified audited statements or lots of findings ▪ No annual audited indirect rates ▪ Advances ▪ Payment via cash ▪ Minimally trained staff ▪ Weak internal controls ▪ Weak control environment ▪ New or untrained staff ▪ High turnover ▪ Multiple locations without easy access ▪ Weak or limited monitoring systems ▪ No outsourcing ▪ Not compliant with International Accounting Standards ▪ Not compliant with local tax and reporting needs ▪ Delays in reporting and other requirements

In addition to the high-risk characteristics shown in **Table 5-2**, **grantees who are found to have operational deficiencies should always be categorized as high risk.**

Operational deficiencies include the following:

- History of poor performance;
- Financial instability;
- A management system that fails to meet the standards prescribed in CFR 200;
- Failure to conform to the terms and conditions of a previous award; or
- Activities that indicate the potential grantee is otherwise not responsible.

5.4.1 Mitigating Risks

When risks are identified, a project may impose additional requirements, as needed, to mitigate the risks. The Project Grants Manager should explain to the potential grantee the reason why additional requirements are being imposed, the nature of the corrective actions needed, the time allowed for completing the corrective actions, and the method for requesting reconsideration of the additional requirements imposed.

Specific grantee requirements to mitigate risk include, but are not limited to:

- establishing special award conditions, such as additional financial reporting detail or frequency; and
- providing technical assistance to the grantee to correct any operational deficiencies.

Table 5-2 provides examples of special award conditions for high-risk grantees.

Table 5-2. Illustrative Examples of Special Award Conditions for High-risk Grantees

Monitoring Functions	Fixed-Amount Award	Cost-Reimbursement Grants
Financial Management	<ul style="list-style-type: none"> Structure milestones to regulate the disbursement of funds. For example, increase the number of milestones or smaller initial disbursements (no more than 25%) Handle disbursement of funds directly to vendors (no cash disbursements to grantees) 	<ul style="list-style-type: none"> Require grantee to open a separate bank account for grant funds from RTI Provide grantee templates for invoices and receipts Increase frequency of invoices submitted by grantee (i.e., monthly instead of quarterly) Require that copies of receipts or substantiation of costs incurred be submitted with financial reports
Property Management Standards	<ul style="list-style-type: none"> Have grantee provide physical location of equipment to be purchased under grant Require that physical location be secured (e.g., locked room) 	<ul style="list-style-type: none"> Have grantee provide physical location of equipment to be purchased under grant Require that physical location be secured (e.g., locked room)
Procurement Standards	<ul style="list-style-type: none"> Handle procurement directly with vendors on behalf of grantees. Prescribe a pre-determined list of equipment for grantee to choose from. Require that grantee seek pre-approval of purchases of certain items (commodities or services). 	<ul style="list-style-type: none"> RTI handles procurement above a certain threshold directly with vendors on behalf of grantees. Require grantee to seek pre-approval of purchases of certain items (commodities or services). Require grantee to purchase from prequalified vendors determined by RTI.
Reports and Records	<ul style="list-style-type: none"> Provide financial and programmatic reporting templates to grantee. 	<ul style="list-style-type: none"> Provide financial and programmatic reporting templates to grantee. Increase frequency of reports submitted by grantee (i.e. monthly instead of quarterly).

5.5 Recording the Determination of Responsibility in the MON

Based on the pre-award assessment and prior to awarding any grant, the Project Grants Manager must provide a written record of the Determination of Responsibility in the MON.

This record must reflect that the applicant

- has adequate financial resources, or the ability to obtain such resources, as required during the performance of the award;
- has the ability to meet the award conditions, taking into consideration all existing prospective recipient commitments, both nongovernmental and governmental;

- has a satisfactory record of performance. Generally, relevant unsatisfactory performance in the past is enough to justify a finding of nonresponsibility, unless there is clear evidence of subsequent satisfactory performance, or the applicant has taken adequate corrective measures to assure that they will be able to perform satisfactorily;
- has a satisfactory record of business integrity; and
- Is otherwise qualified to receive an award under applicable laws and regulations.

Once the responsibility and risk level determinations have been recorded in the MON, the Project Grants Manager should have the COP (or the staff member with approval authority) review and approve the MON so that this documentation can be included in the grants package submission. As discussed in *Section 6.2.1.1*, approval authority is the authority of designated project staff to approve grant applications and endorse them for award following general iGAP guidelines and other project-specific selection criteria. Approval authority is exercised internally as part of the grant application review process and does not constitute signature authority to commit or bind RTI to an award.

6. The Grant Award

Once the Project Grants Manager has completed the pre-award assessment; recorded the risk determination level and the Determination of Responsibility in the MON; and obtained approval and signature of the MON from the COP or authorizing staff, he/she should complete the Grant Agreement Template for the type of grant being awarded. This agreement will be included as part of the grants package submitted via the GMS for grant award.

The following subsections provide descriptions of the different grant types, as well as an overview of additional processes outside of the standard grant award process (i.e., expedited grants process and Letter of Authorization). The subsections continue to provide an overview of the signature and approval authority.

6.1 Selecting the Grant Type

The four types of grants that may be awarded are (1) Fixed Amount Awards (FAAs), (2) simplified cost-reimbursement grants (SIGs), (3) standard cost-reimbursement grants (STGs), and (4) in-kind grants. The grant types are discussed below, and their limitations, funding, and primary use are shown in **Table 6-1**.

Table 6-1. Grants Award Types and Amounts

Grant Type	Limitations	Funding	Primary Use
Fixed Amount Awards (FAA)	Up to \$250,000 USD (up to 3 years) (\$100,000 USD for U.S. organizations)	Paid a set amount upon achievement of milestones, not necessary to verify costs incurred	Activities with clear deliverables, Host Country Government
Simplified Cost-reimbursement Grant	Up to \$150,000 USD (up to 3 years)	Based on actual costs incurred	Capacity building or large % of salary costs, outcome not clearly defined
Standard Cost-reimbursement Grant	Over \$150,000 USD	Based on actual costs incurred	Higher-dollar grants, low to moderate risk grantees, performance over multiple years
In-kind Grant	No limitations	No limitations	Host Country Gov't, low capacity grantees, primarily for procurement of goods

NOTE: Grants under contracts to U.S. organizations shall not exceed \$100,000 USD during the life of the project. This limit does not apply to non-U.S. organizations. GUC to government entities (e.g. ministry, municipality, district, etc.) excluding in-kind assistance must not exceed \$300,000 for the duration of the prime contract. (USAID ADS 302.3.4.13).

All grants to non-U.S. organizations are typically denominated and disbursed in the local currency. A USD exchange can be included for budget purposes. Client approvals are generally provided in USD. Therefore, RTI must track the expenditures to ensure the grantee does not exceed the USD-approved amount.

6.1.1 Fixed Amount Awards (FAAs)

An FAA is an award based on a fixed-amount payment upon achievement of a milestone. FAAs are for very specific activities and do not require monitoring of the actual costs incurred by the grantee. This type of grant is intended for use to support specific activities where there is a certainty about the costs and where the accomplishment of the purpose or milestone in the grant is readily discernible, such as conferences and supplies.

**Supporting documents
discussed in this section:**

- **FAA Grant Agreement Template (Attachment A8)**
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An important aspect to FAAs is the structure of the payments. **Grantees are paid a set amount upon achievement of milestones**; therefore, it is essential that there is sufficient cost history to negotiate the payments. Structuring payments also ensures that (1) funds requested will reflect the actual cost of the effort, (2) no funds will remain upon completion of the project, and (3) the grantee **does not receive a windfall** upon completion of the grant. Grant closeout is accomplished with the acceptance of the final milestone and approval of payment.

While the signing of the grant by the grantee is not considered a milestone by itself, the initial milestone can be a small set of activities to finalize or initiate the Implementation Plan. Generally, advance payments are not made under an FAA, given the ability to provide for sufficient cash flow through milestone payments. Cash advances should be provided only in very exceptional circumstances and approved on a case-by-case basis by iGAP. Individual milestone payments do not necessarily reflect the costs to complete the milestone; rather, milestone payments are structured to provide liquidity throughout implementation.

The award amount in an FAA is fixed and should only be modified in very limited circumstances. An increase in costs is not a valid justification and should be based on factors outside the grantee's control or for additional activities/milestones.

There are four characteristics of a milestone: (1) the description of the task/output, (2) the description of how the grantee will document the completion of the task, (3) the due date for when the milestone is *expected* to be completed, and (4) the amount to be paid once the evidence of the milestone has been completed.

The appropriate use of an FAA should be based on the following factors:

- The ability to easily identify and quantify programmatic accomplishments or results in establishing grant milestones;
- Limited risk that there will be changes to the program; and
- Adequate cost (historical or unit pricing) available to determine and negotiate the fixed price of the grant. Fixed price may include indirect costs if supported by a NICRA (see **Section 5.1.3.1**) with a U.S. Federal government agency. If not supported by a NICRA, indirect costs may be included in the grant budget if they are represented as direct costs with sufficient unit cost breakdown, as required, for other budget cost elements. No fees or costs can be included as percentage of budget (e.g., 5%).

FAAs must include both of the following provisions:

1. The right of the project to terminate, in whole or in part, or to suspend payments, should the grantee become insolvent or unable to perform remaining milestones during performance of the award; and
2. At the end of the grant period, grantees must certify in writing that the activity was completed. If the grantee cannot provide certification, it is expected that the grantee will make appropriate reimbursements.

The FAA Grant Agreement Template is provided in *Attachment A8* of this manual. For FAAs under USAID funding, additional guidance is provided at the following link:

<http://www.usaid.gov/sites/default/files/documents/1868/303saj.pdf>

6.1.1.1 Disbursement

All disbursements under FAAs will be made after evidence is submitted that a benchmark has been achieved and accepted by RTI. Such evidence may come in many forms, including but not limited to, a work plan, a technical report, a financial report, meeting notes, the arrangement of specified logistics, and the finalization of a list of training participants. The following description and **Table 6-2** represent examples of how a disbursement schedule might be structured under a FAA.

Table 6-2. FAA Example for Disbursement of Grant Funds

Milestone	Milestone		Completion	
1	Survey of Lira District	Survey Report	Oct 31, 2015	\$15,800 USD
2	Training of Traditional Birth Attendants	Training Materials and Signed Attendance Sheet	Jan 31, 2016	\$12,500 USD
3	Distribution of IEC Materials	Copy of Developed Materials and Distribution Report	June 30, 2016	\$24,500 USD

6.1.1.2 USAID Standard Provisions for U.S. and non-U.S. Nongovernmental Grantees under FAAs

For USAID-funded grants, FAAs must include the following Standard Provisions:

1. *Mandatory Standard Provisions for FAAs to Nongovernmental Recipients* (required and required as applicable; see *Attachment A9*); and
2. Standard Provision for FAAs (Required As Applicable) Eligibility Rules for Procurement of Commodities and Services. Unless a milestone is itself the purchase of the equipment or personal property, this provision is not required to be inserted. Milestones should not list equipment or personal property that a recipient may potentially

purchase to accomplish the milestone, but the costs of such equipment or personal property may be included in the budget from which milestone payment amounts are estimated and negotiated.

6.1.2 Simplified Cost Reimbursement Grants (SIGs)

A SIG is primarily used in USAID-funded awards. SIGs may be used when the grant meets the following conditions:

- The total of the grant does not exceed \$150,000 USD and a term period of up to 3 years.
- All costs to be charged to the grant are identified in the Grant Application and do not include international airfares, or indirect costs. If any indirect cost will be reimbursed, it should be represented and specified as units of direct costs. All costs will be subject to final determination of allowability under the applicable cost principles (see *Section 7.4, Costs*).
- Any equipment to be purchased does not include items with a useful life over 1 year and an acquisition cost of \$5,000 USD or more. If equipment is included, then the USAID *Standard Provision for Equipment* must be incorporated into the grant.

Supporting documents discussed in this section:

- **Simplified Cost Reimbursement Grant Agreement Template (*Attachment A10*)**
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The Simplified Cost Reimbursement Grant Agreement Template is provided in *Attachment A10* of this manual.

6.1.2.1 Disbursement

All disbursements under SIGs are based on actual costs incurred. The grantee submits a claim for reimbursement (i.e., invoice) listing the costs incurred for a specified period, and the grantee is reimbursed for all allowable costs, provided they are identified in the grant budget at the time of award. The billing frequency may not be more than monthly.

See *Section 7.6* for more information on making disbursements through advances.

6.1.2.2 USAID Standard Provisions for U.S. and non-U.S. Nongovernmental Grantees under SIGs

SIGs generally do not include any of the *Standard Provisions* used for USAID grants.

The *Standard Provisions for Non-U.S. Nongovernmental Grantees* that are prescribed in USAID ADS 303 need not be incorporated in FAAs and SIGs. However, if international travel and/or the purchase of equipment are approved under the grant, regardless of the type, the applicable Standard Provisions must be incorporated.

USAID Standard Provisions for Non-U.S. Nongovernment Recipients are available at <http://www.usaid.gov/ads/policy/300/303mab>.

6.1.3 Standard Cost Reimbursement Grant (STGs)

An STG is used for grant awards above \$150,000 USD, for both U.S. and non-U.S. organizations, and is based on actual costs incurred versus fixed price or set milestone payments. STG recipients should have sound financial and administrative systems, including the following:

- Accounting, recordkeeping, and overall financial management systems that meet the Prime client standards. Under USAID funding, these standards can be found in 2 CFR 200.300-309, 327;
- An adequate system of internal controls, including but not limited to segregation of duties, handling of cash, contracting procedures, personnel, and travel policies;
- A property management system that meets the client standards; 2 CFR 200.310-316.
- A procurement system that meets the standards in 2 CFR 200.317-326, if the grant has a significant procurement element; and
- A system of administering and monitoring subawards that is in compliance with 2 CFR 200 Subpart F- Audit Requirements, if subawards are contemplated under the grant.

If the pre-award assessment (see *Section 5*) determines that a grantee does not have these systems, then the *Special Award Provisions for High Risk Recipients* should be implemented. Additionally, the *Mandatory and Required (as applicable) Standard Provisions* must be incorporated in the grant.

A Standard Cost Reimbursement Grant Template is provided in *Attachment A11* of this manual.

6.1.3.1 Disbursements

All disbursements under STGs are made on the basis of actual incurred expenses. The grantee submits a claim for reimbursement (i.e., invoice) listing costs incurred for a specified period. The grantee is reimbursed for all allowable costs, provided they are identified in the grant budget at the time of award. The frequency of billing may not be more than monthly.

See *Section 7.6* for more information on making disbursements through advances.

6.1.3.2 USAID Standard Provisions for U.S. and non-U.S. Nongovernmental Grantees for STGs

The full text for *Standard Provisions to U.S. Organizations* and for *Standard Provisions to Non-U.S. Organizations* can be found at <http://www.usaid.gov/policy/ads/300/303mab.pdf>.

6.1.4 In-kind Grants

Grants wherein goods and services are procured by the project on behalf of the grantee are called in-kind grants. In-kind grants may also be awarded to those grantees that are unable to demonstrate the minimum level of financial management capacity required to handle disbursements in cash. Under an in-kind grant, no cash payments may be made into the grantee's

Supporting documents discussed in this section:

- **Standard Cost Reimbursement Grant Agreement Template (*Attachment A11*)**
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bank account; all goods and/or services must be paid directly to suppliers. Therefore, it is not appropriate to pay for staff salaries under an in-kind grant. However, special exceptions can be approved through iGAP to hire staff on the grantee's behalf to perform specific project-approved activities.

**Supporting documents
discussed in this section:**

- **In-Kind Grant Agreement Template ([Attachment A12](#))**
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An important aspect of implementing in-kind grants is ensuring that all program property is properly used and disposed of after a grant is completed. After procurement, the grantee is required to use and conserve the property for the purposes specified in the project awarded with the grant, according to the *Standard Provision* "Title to and Use of Property (Recipient Title: \$50,000 and under)"¹ as follows:

1. Title to all property financed under this award will vest in the recipient.
2. The recipient agrees to use and maintain the property for the purpose of the award and in accordance with the procedures established in this provision.
3. For property having an acquired value of \$5,000 USD or more, the recipient agrees to report such items to RTI's Project Grants Manager as they are acquired and to maintain a control system that will permit their ready identification and location. Within 90 calendar days after the end of the award, the recipient will provide to RTI's Project Grants Manager a list of each item that has current fair market value of \$5,000 USD or more, with a detailed proposal of what the recipient intends to do with that property. However, if the recipient uses the property for purposes other than those of the award or sells or leases the property, then for USAID-funded projects, USAID will be reimbursed of its share of the property unless the Agreement Officer authorizes USAID's share of the income from selling or leasing the property to be used as program income. This share is based upon the percentage of USAID's contribution to the recipient's program. If USAID paid 100% of the recipient's costs, then USAID would receive 100% of the selling cost, less a nominal selling fee of \$500 or 10%, whichever is less.

The grantee should provide the project with a complete list of all inventory and property obtained under the grant agreement, including property location, condition, and a plan to transfer title of this equipment within 45 days prior to the end of the period of performance. Within 30 days, the project should provide notification to the Grantee regarding the request for transfer.

It is possible to issue another type of grant that includes an in-kind component to the grant. In this case, the elements of the budget that will be in-kind should be distinguished.

An In-Kind Grant Agreement Template is provided in *Attachment A12* of this manual.

¹ This provision is applicable only when title to property is vested in the recipient and less than \$50,000 in equipment is expected to be procured with USAID funds. Equipment is defined as any tangible personal property having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit.

6.1.4.1 Disbursements

No disbursements are made directly to the grantee under an in-kind grant. Rather, the project will procure all the necessary commodities and services on behalf of the grantee.

6.1.5 Other Grant Award Types and Documentation

6.1.5.1 Expedited Grants

For grants below \$5,000 USD, the required documents to be submitted are fewer than those for the full grant package. The Grant Application may include special grant provisions and be signed in lieu of a separate grant agreement.

The following is required for the grant package:

- MON (may be written for batch of grants issued simultaneously),
- Bridger Insight verification,
- Budget,
- Milestones (for FAAs only), and
- Program description or Grant Application Form.

6.1.5.2 Letter of Authorization

A Letter of Authorization (LOA) may be issued to a selected grantee to cover a short period of time to allow for the grantee to begin activities under cost-reimbursement grants (SIG and STG), while the final negotiation of the agreement is being made (not applicable to FAAs).

The following conditions must be met when issuing LOAs:

- Client (i.e., Prime) approval has been provided for the selected grantee and level of funding, if client approval is required.
- The Scope of Work (SOW), maximum ceiling, and required flow down clauses are included in the LOA,
- The maximum period of the LOA does not exceed 3 months, unless approved by iGAP.
- Generally, payments are made after submission of invoices and not by advance, unless approved by iGAP.

LOAs are signed by the RTI representative within the delegated signatory authority. Therefore, if the LOA is less than the COP's delegated authority, then a COP may sign; otherwise, the LOA should be executed by an iGAP representative.

6.2 Submitting the Grant Package to the GMS

The completed and approved grants package must be submitted through the GMS. If the grant is above the Delegation of Signature Authority of the COP, the grant will need to be signed by a member of iGAP, and the GMS will route the grant for approval and signature.

The GMS is located at

<https://staffnet.rti.org/services/Contracts/apps/grants/index.cfm?>

In order to submit a grant application package to the GMS, Project Managers should select “Create a New Grant Application” under the system’s Main Menu. The [Grant Package Checklist](#), found in *Attachment A13*, outlines the minimum requirements for submission of the grants package to GMS. In addition, a *GMS User Guide* is available at <https://staffnet.rti.org/services/contracts/apps/grants/Support.cfm?> to provide support with GMS submissions (RTI internal system access only).

Supporting documents discussed in this section:

- **Grant Package Checklist (*Attachment A13*)**
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6.2.1 Delegation of Signature Authority

6.2.1.1 Approval Authority

As mentioned earlier in [Section 5.5](#), approval authority is the authority of designated project staff to approve grant applications and endorse them for award following general iGAP guidelines and other project-specific selection criteria. Approval authority is exercised internally and does not constitute signature authority to commit or bind RTI to an award.

For grant programs that are field-based, approval authority vests in the COP. For grant programs that are U.S.-based, approval authority vests in the Project Manager.

6.2.1.2 Signature Authority

Signature authority is reserved for those staff who have delegated authority to execute grants on behalf of RTI and to commit RTI to an award. It is RTI’s policy that, at the recommendation of the iGAP, signature authority may be delegated only by corporate officers given the authority by RTI’s Board of Governors. Project-level staff who are provided signature authority are normally senior members of the project (such as the COP or other duly authorized representatives of RTI at similar seniority level). Signature delegation is issued via a formal delegation letter that outlines authorities and responsibilities and is separate from any other delegations/approval authorities granted under other policies.

The delegation of signature authority to staff in the field specifies the limit of the authority, which may vary. As a general rule, signature authority applies only to simplified grants issued either as FAAs or SIGs; it does not apply to in-kind grants. Under this policy, signature authority is limited to a maximum of \$25,000 USD. Grants in excess of \$25,000 USD can only be signed by a member of iGAP, depending on the amount of the grant.

For a staff member to be eligible to receive delegated authority to sign subgrants under RTI’s policy, he/she must first have been approved by his/her respective Business Unit Vice President to receive the delegation.

To do this, they must have completed all of the following:

1. Attended RTI's COP New Hire orientation, at which time the new COP's future project-related responsibilities are adequately explained to that particular COP.
2. Attended a training session on the fundamentals of grants administration prepared by iGAP.
3. Satisfactorily completed the COP Grants Certification Test (after completion of the above-described training via any one of the available delivery methods).

After iGAP receives the satisfactory results of the Certification Test and the staff member has met all other requirements as described above, then the RTI's Vice President of Contracts will issue a Delegation of Authority letter to the qualified individual, referencing the requirements of this Certification Policy and such other necessary information as may be pertinent under the circumstances.

6.3 Modifications to the Grant Agreement

An official grant agreement modification should be issued for the following reasons:

- To change the scope or the objectives of the program description
- To change the ceiling or obligated amount of the grant
- To change the period of performance, including early terminations.

Supporting documents discussed in this section:

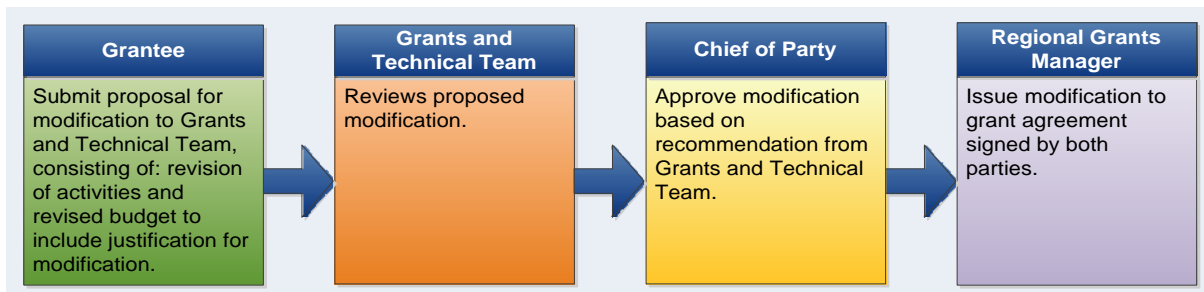
- **Grant Modification Template (Attachment A14)**
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RTI may modify grant awards without prior approval from the client, provided that the modification is for administrative reasons and does not increase the ceiling of the grant.

When changing the ceiling or approved budget, a revised budget should be incorporated into the grant modification. If the obligation is being increased, a revised budget does not need to be incorporated unless the original approved budget is no longer the most current version.

The Grant Modification Template is provided in *Attachment A14* of this manual. **Figure 6-1** provides an overview of the tasks associated with completing a grant agreement modification, as well as the responsible parties, by task.

Figure 6-1. Chart 1: Process for modification to existing grants agreement



7. Grant Administration

7.1 Special Guidelines when Issuing Grants to Foreign Governments under USAID Funding

Special procedures apply when a grantee is a foreign governmental organization or a host country government (HCG). A foreign governmental organization is defined as a foreign organization that functions as a governing body; for example, ministries, local or state governments, or agencies. Included in this definition are foreign government-owned parastatal organizations, which are defined as firms operating as commercial companies in which foreign governments have a controlling interest. Foreign government-controlled universities and other educational governmental entities are covered under this policy. See USAID ADS 302.4.13 and *USAID Acquisition Regulation (AIDAR)* 731.205-71(a)(2) for more information for issuing Grants Under Contracts. If the prime award is a Cooperative Agreement, guidance for issuing subgrants is found in USAID ADS 303.3.21 (b). In both cases, in-kind assistance is excluded from any restrictions outlined.

Under USAID ADS 302, the guidelines governing grants under contracts outline the procedures for executing grants to NGOs and partner government entities (see USAID ADS 302.3.4.13). Any deviations from USAID ADS 302 should be approved by the USAID Contracts Officer, which may require further clearances and approvals from the Head Contracting Officer or Legal Advisors.

For Grants-under-USAID Cooperative Agreements, appropriate flow-down provisions must be included in the grant agreement, including any special restrictions from the prime award. Prior to an AO approving a subgrant to a partner government entity for activities to be implemented by that entity, the AO must verify that these types of subawards have been approved either in: **(1)** The Project Appraisal Document (PAD) or **(2)** A Determination and Finding (D&F).

7.2 Grants-Under-Contracts

The authorization in USAID ADS 302.3.5.6.b requires privity of contract, in other words a binding legal relationship, with the contractor in a Grants-under-Contracts program.

Although the U.S. Government could take action against a Prime contractor that fails in its contractual responsibilities in administering a grant, the Government could take no such action against a subcontractor. The establishment and administration of a grant requires a fiduciary responsibility on the part of Government agencies that is somewhat different than that of a normal contractual relationship (see the *Federal Grant and Cooperative Agreement Act of 1977*, P.L. 95-224). These responsibilities are codified in 2 CFR 200 and require a privity relationship between the Government and the grantee. Whereas there is an exception to privity when the Prime contractor acts more as an agent of the Government, as in the case of Grants-under-Contracts (privity may be extended through the Prime to the grantee), there is no concept of law that would extend privity through a Prime and a subcontractor to the grantee—that is, the Prime and subcontractor could not both be acting as agents of the Government simultaneously. Nor can privity be established by a flow down of terms and conditions. These flow downs, combined

with some specific language in the default clause, only serve to allow the Government to hold the Prime contractor responsible for the conduct of the subcontractor, not to directly influence or control the subcontractor.

For the above-stated reasons, it is not recommended that RTI allow its subcontractors to issue grants. However, in a unique situation where it might be justified for a subcontractor to issue grants, project staff should contact a member of iGAP for further discussion and determination. iGAP will review the subcontractor's internal grant administration policies and systems to ensure adequacy and industry standards.

7.3 Grant Files

The following outlines the documentation that should be included in all grant files. Projects should work with grantees to ensure the collection/submission of this documentation. All grant files should be retained in the project office.

7.3.1 Grant Award and Management Documents

Documents pertaining to grant award and management that should be retained in the grants file include

- The RFA
- Copies of Applications submitted to RTI in response to RFA
- Technical Evaluation narrative or scoring sheets
- Application from grantee
- Pre-award survey findings
- The MON
- Approval of the grant by client
- Signed grant agreement (FAA, SIG, or STG)
- Signed modifications to the grant agreement
- Grant correspondence (including approvals via e-mail)
- Required certifications by the grantee
- Bridger Insight reports.

7.3.2 Procurement Documents

Procurement documents that should be maintained in the grant file include

- Price quotations and documentation for the selection of vendors
- Inventory of equipment
- Approval of the procurement from RTI, as required per the terms of the agreement

See *Section 7.9* for more information on procurement processes for grants.

7.3.3 Financial Documents

Financial documents that should be maintained in the grant file include

- Financial reports from the grantee with supporting documentation; any correspondence regarding questioned or disallowed costs (see *Section 7.4*)
- Cost share and/or leverage contributions with supporting documentation (see *Section 7.7*)
- Annual VAT report (see *Section 7.8*)
- Annual audit reports, as required.

7.3.4 Reporting and Evaluation Documents

Reporting and evaluation documents that should be maintained in the grant file include

- Final reports from grantee, when required
- Site visit and monitoring reports
- Impact assessments
- Additional demonstration of activities (e.g., photographs, electronic copies of radio public service announcements and conference events, newspaper clippings).

Projects/grantees are required to maintain records for a minimum of 3 years after the closeout date of the grant, or as specified in the Grant Agreement, and to make accounting records available for review by RTI or the client or their authorized representatives. The right of access to any documents, papers, or other records of the grantee in order to make audits or examinations includes timely and reasonable access to the grantee's personnel for the purpose of interview and discussion related to such documents.

7.4 Costs

7.4.1 Allowable Costs

To be allowable under an award, costs must meet the following general criteria:

- Be reasonable for the performance of the award and be allocable thereto under the cost principles in the 2 CFR 200 Subpart E
- Conform to any limitations or exclusions set forth in these principles or in the award as to types or amount of cost items
- Be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the organization
- Be accorded consistent treatment
- Be determined in accordance with generally accepted accounting principles (GAAP)
- Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period
- Be adequately documented.

Meetings and conferences are allowable, IF they fall into the following categories:

- Costs associated with conducting meetings and conferences, including the cost of renting facilities, meals, speakers' fees, and similar items;
- Costs that are identifiable with a particular cost objective and that can be charged to that objective. These costs are allowable, provided that they meet the general tests of allowability found in 2 CFR 200 Subpart E;
- Costs of meetings and conferences held to conduct the general administration of the organization.

Participant support costs are allowable IF they fall into the following category:

- Direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with meetings, conferences, symposia, or training projects. These costs are allowable with the prior approval of the USAID COR.

Grantees should be referred to 2 CFR 200 Subpart E, paragraphs 1–56, for the principles to be applied in establishing the allowability of certain items of cost. 2 CFR 200 can be accessed at http://www.ecfr.gov/cgi-bin/text-idx?node=2:1.1.2.2.1#se2.1.200_172.

7.4.2 Unallowable Costs

Examples of unallowable costs include the following:

- Costs of meetings or other events, if related to fund-raising;
- Advertising solely to promote the organization;
- Costs of promotional items and memorabilia, including gifts and souvenirs;
- Alcoholic beverages;
- Costs of amusement, social activities, and ceremonies;
- Membership in any country club or social or dining club;
- Contingency reserve; and
- Contributions and donations by the organization made to others.

Profit or fee is not allowable under RTI's grants.

7.4.3 Reasonable Costs

A cost is reasonable if, in its nature or amount, it does not exceed what would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs. It is important to carefully review the reasonableness of specific costs in connection with organizations or separate divisions thereof that receive the majority of their support from awards made by Federal agencies.

In determining the reasonableness of a given cost, consideration will be given to the following:

- Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the organization or the performance of the award.
- Whether restraints or requirements may be imposed by factors such as generally accepted sound business practices, arm's length bargaining, Federal and state laws and regulations,

and terms and conditions of the award.

- Whether the individuals concerned acted with prudence under the circumstances, taking into consideration their responsibilities to the organization, its members, employees, and clients, the public at large, and the Federal government.
- Whether significant deviations were made from the established practices of the organization, which may unjustifiably increase the award costs.

7.4.4 Allocable Costs

A cost is allocable to a particular cost objective, such as a grant, contract, project, service, or other activity, in accordance with the relative benefits received. A cost is allocable to a Federal award if it is treated consistently with other costs incurred for the same purpose in comparable circumstances, and if it

1. Is incurred specifically for the award **and** benefits both the award and other work and can be distributed in reasonable proportion to the benefits received; or
2. Is necessary to the overall operation of the organization, although a direct relationship to any particular cost objective cannot be shown.

Any cost that is allocable to a particular award or other cost objective under these principles may not be shifted to other Federal awards to overcome funding deficiencies, nor to avoid restrictions imposed by law, nor by the terms of the award.

Examples of costs that might be *allowable* in accordance with 2 CFR 200, but do not meet the definition of *allocable*, are listed as follows:

- Disproportionate share of office space costs (50% of the monthly office rent for a small project with few or no full-time staff);
- Depreciation costs of computers and small equipment (not in accordance to grantee's internal policy for depreciation of large equipment purchases);
- Coffee maker (not in line with program description);
- Petty cash (not an incurred cost);
- Excessive per diem (beyond the locally paid rate within the timeframe of the training [e.g., pay for 2 days of travel when only one normally would be required]).

7.4.5 Disallowed Costs

RTI has the authority and duty to review financial transactions and disallow costs and refuse payment if the expenses:

- do not meet RTI or client requirements,
- are incurred outside the period of performance,
- are in excess of obligated amount of the grant,
- are not under the grant agreement terms, or
- are found to be unallowable by an auditor hired by the grantee, RTI, or client representative (e.g., U.S. Inspector General's Office)

7.5 Prior Approvals

In accordance with the terms of the grant agreement, prior approval from the Project Grants Manager is required before grantees can conduct the following actions:

- Change the scope or the objectives of the project and/or revise the funding allocated among project objectives (requires modification of the grant agreement);
- Request additional funding when needed, or change the ceiling/obligation of the grant (requires modification of the grant agreement);
- Transfer funds among cost categories above the threshold identified in the grant agreement (does not require modification, but written communication and approval should be maintained in the grant files);
- Include costs that require prior approval in accordance with the applicable set of cost principles (does not require a separate modification, but written communication and approval should be maintained in the grant files)
- Contract or sub-award any of the work under the grant when such contracts or subawards were not included in the approved budget (but written communication and approval should be maintained in the grant files)
- Procured items are above the threshold identified in the grant agreement; most often the items are identified as equipment.

7.6 Advances

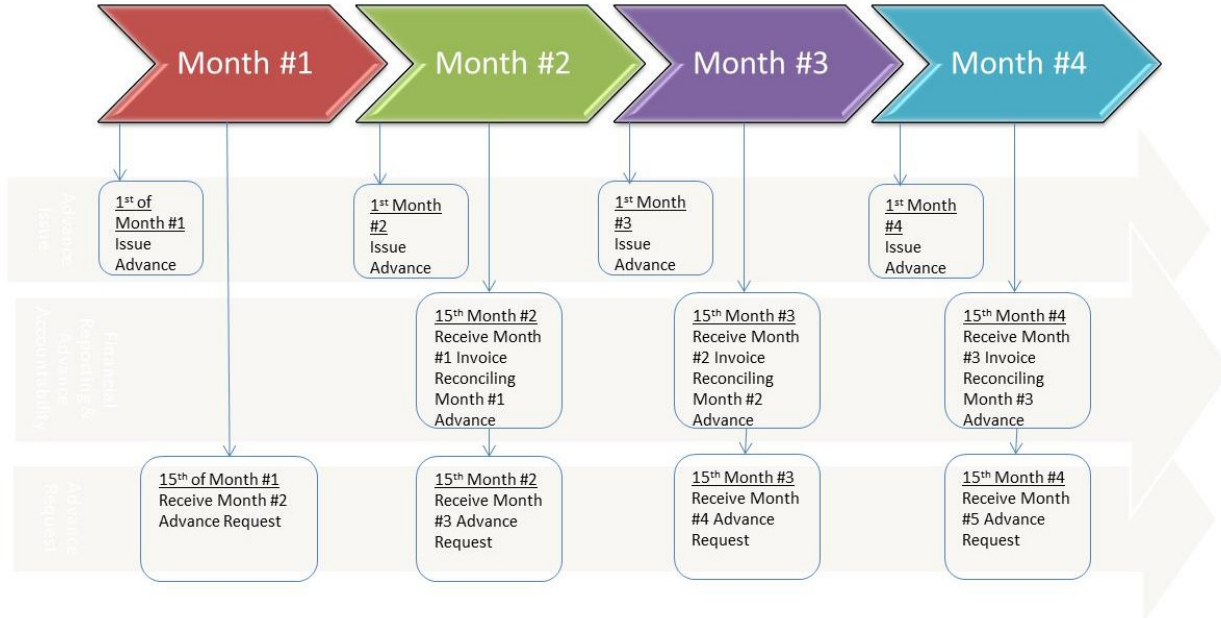
Grantees able to demonstrate being responsible under the Standards for Financial Management, as outlined in **Section 4** of this manual and documented by the Project Grants Manager, are eligible to receive advances. All requests for advances must be in accordance with RTI's policies on advances and approved in accordance with approval thresholds for payments outlined **Section 9** of *RTI's International Accounting Manual*.

Advances to grantees are made on a cash basis and are limited to the grantee's immediate financial needs for up to 30 days and for an amount not to exceed \$100,000 USD, unless additional approval is provided by RTI authorized officers.

Under STG/SIG, a cash advance to a grantee with limited cash flow is limited to the minimum amount needed to meet current disbursement needs (generally 30 days) and will be scheduled so that the funds are available as close as is administratively feasible to the actual disbursements for program costs. After receipt of the initial advance, and for each upcoming month (30-day period), the grantee must submit a *Request for Advance*.

Grant advances should be liquidated within 60 days. If an advance exceeds 60 days, RTI will not replenish or provide any further advances until the previous advance is reconciled or unless otherwise approved by RTI's International Accounting policy. **Figure 7-1** presents a process diagram of issuing and reconciling advances.

Figure 7-1. Process Diagram of Issuing & Reconciling Advances



7.6.1 Grant Advances/Invoices Paid from the Field

For advances paid from the field:

- Advances paid in the field in the amount up to \$100,000 USD may be approved by the COP with notification to the Project Manager.
- Advances in excess of \$100,000 USD must be further approved by the IDG Vice President of Finance and RTI’s Treasurer. The Project Manager routes the request for approval.
- Project staff may not authorize advances to grantees outside of the procedures outlined above.

7.6.2 Grant Advances/Invoices Paid from the Home Office

For grant invoices/advance requests that are to be paid from RTI’s Headquarters, the iGAP Team must set up a purchase order within RTI’s Financial Accounting System (Costpoint). To initiate this process, iGAP Senior Grants Manager will facilitate the process with the RTI Home Office.

Once the purchase order is set up, the Project Manager routes the approved invoice/advance request to the Accounting Department for payment.

The Advance Request Form and the Electronic Funds/Wire Transfer Form can be found in **Attachments A15 and A16** to this manual.

Supporting documents discussed in this section:

- Advance Request Form (Attachment A15)**
 - Electronic Funds/Wire Transfer Form (Attachment A16)**
 - Financial Report Template (Attachment A17)**
-

No matter how an advance is paid. Grantees should complete and submit a [Financial Report Template](#) (see *Attachment A17*) for advance reconciliation and incurred expenses.

7.7 Cost Share Reporting

Often times, grantees are required to provide cost share as part of the grant application process. If the grantee is required to provide cost share, this should be detailed in the grant agreement and the budget and budget narrative.

Cost share is typically only required under USAID awards, whether the program is a Grants Under Contracts or Grants Under Cooperative Agreement. USAID has a sustainability practice to require local organizations to demonstrate contribution to the USAID-funded activity. These contributions can be in the form of cash or in-kind donations.

The USAID regulations on cost share can be found in 2 CFR 200.306. In order for a contribution to be counted as cost share, it must meet certain criteria established under the Federal Cost Principles. Specifically, in order to be allowable and allocable, a cost share contribution must be

- verifiable in grantee’s books and records,
- counted as a cost share on Federal awards only once by the recipient,
- necessary and reasonable for proper and efficient accomplishment of the award objective
- allowable under applicable Federal regulation cost principles (no unallowable costs)
- not reimbursed to the recipient under any other Federal award, unless a Federal statute specifically authorizes the reimbursement to qualify as cost sharing
- included in the approved budget if required by the Federal awarding agency
- in conformance with other provisions of 2 CFR 200, as applicable.

Grantees are required to submit documentation of cost share contributions to the Project Grants Manager so that it may be reviewed for eligibility and approved by the COP and Finance Manager. Grantees should use the [RTI Cost Share Cover Page](#) (see *Attachment A18*) to report cost-share contributions. [Instructions for the Cost Share Cover Page](#) are provided in *Attachment A19*.

7.8 Cost Leverage Reporting

USAID-funded awards may also impose Cost Leverage requirements that could fall under either Grants Under Contracts or Grants Under Cooperative Agreements. There are no regulations that outline the allowability standards as with Cost Share. However, there is USAID internal policy guidance, including the use of Global Development Alliances (GDAs).

The primary purpose of leverage is to link private sector resources and partnerships with public sector projects. Therefore, it is acceptable to have either cash or in-kind resources, but the leverage should originate from the private sector (Non-Governmental or Commercial Funding).

Supporting documents discussed in this section:

- [RTI Cost Share Cover Page \(Attachment A18\)](#)
 - [Cost Share Cover Page Instructions \(Attachment A19\)](#)
-

Leverage requirements, mandatory or optional, should be outlined in the RFA and how it will be used in the selection process. Should leverage be mandatory, Grantees should incorporate the Leverage Plan into the budget and narrative of the Grant Application. Staff should consult with iGAP for additional resources and reporting tools for cost leverage under USAID-funded awards.

7.9 Value Added Tax (VAT) Reporting

Under USAID-funded projects, there is an annual reporting requirement outlined in the Standard Provisions and in the terms of the grant agreement. As each country has different requirements, it is important to follow the process outlined by each USAID mission. VAT annual reporting is required for any foreign taxes assessed by a foreign government on commodity purchase transactions valued at \$500 USD or more financed with USAID funds. The submitted report is covers the prior U.S. fiscal year and should include taxes paid, even if RTI has requested and/or received a refund of VAT paid.

A grantee should provide its VAT annual report to the RTI Project Grants Manager before the deadline outlined in the grant agreement so that each project can submit a combined report to USAID.

7.10 Procurement

The Project Grants Manager is responsible for ensuring that grantees understand the procurement process to avoid the purchasing of unnecessary items. All procurement transactions must be conducted in a manner to allow open and free competition to the maximum extent practical. Project Grants Managers and grantees must be alert to organizational conflicts of interest and noncompetitive practices that may restrict or eliminate competition.

Some form of cost or price analysis must be made and documented in the grantees' procurement files in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, market prices, and discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability, and allowability.

The following restricted goods and services should not be procured with grant funds without the prior approval of the RTI/USAID Contracts Officer:

- Agricultural commodities
- Motor vehicles,
- Pharmaceuticals
- Pesticides
- Used equipment
- Contraceptives
- Fertilizer.

All procurement under USAID projects must follow the regulations set forth in 22 CFR 228.

An additional help document is available with further information on Procurement Regulations. RTI staff may obtain this document by contacting the iGAP Manager.

7.11 Mandatory Disclosures

Grantees must disclose, in a timely manner, in writing to RTI all violations of criminal law involving fraud, bribery, or gratuity violations potentially affecting the award. Failure to make required disclosures can result in any of the remedies described in 2 CFR200.338 including suspension or termination of the award.

7.12 Program Income

Program income is income earned by the grantee that is directly generated by a supported grant activity or earned as a result of the grant award. Income may result from activities integrally related to the grant, or from activities that are incidental to the main purpose of the grant.

Program income may be earned both from grantee activities and from services provided by an individual who performs a role in the grant activity. The *timeframe* for earning program income is for any income earned by a grantee during the grant period. Grantees should have no obligation for program income earned after the end of the project/grant period.

Examples of program income include the following:

- Fees for services performed and for the sales of services, such as sale of computer time;
- Use or rental of real or personal property acquired with grant funds;
- Sale of commodities or items fabricated under the grant, such as publications;
- Payments of principal and interest on loans made with grant funds; and
- Any donations that are solicited by the grantee during a grant activity.

Project Grants Managers must ensure that grantees inform RTI of any program income generated under the grant. Program income earned under a grant agreement will be applied and used in accordance with USAID Standard Provisions. For non-U.S. organizations, the additive method is the default automatically.

7.13 Equipment Management

In relation to equipment purchased with grant funds, Project Grants Managers are responsible for ensuring that grantees

- Maintain equipment records that include the description and source of the equipment; the name of the title holder; the serial number or other identification; the acquisition date; the cost, location, use, and condition of the equipment; and any ultimate disposition data, including the disposal date and sale price of the equipment.
- Conduct, at minimum, an annual physical inventory of the equipment; reconcile the results with the equipment records; and submit a copy of the physical inventory to RTI Headquarters. For high-risk grantees, this should be done semi-annually.
- Report stolen equipment to the relevant local authorities immediately. A copy of the theft report must be attached to the list of assets that is periodically submitted to RTI Headquarters. If stolen equipment was uninsured, the cost of replacing the stolen equipment is not an allowable cost under the grant.
- Project Grants Manager/iGAP should insert the title to property based on the Prime agreement flow-down requirements.

7.14 Publications

For USAID-funded projects, USAID must be prominently acknowledged in all publications, videos, or other information/media products funded or partially funded through the grant award, and the product must state that the views expressed by the author(s) do not necessarily reflect those of USAID.

Acknowledgments should identify the sponsoring USAID Office and Bureau or Mission, as well as USAID substantially as follows:

This [publication, video or other information/media product (specify)] was made possible through support provided by the Office of _____, Bureau for _____, U.S. Agency for International Development, under the terms of Award No. _____. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development.

For USAID-funded projects, grantees must follow the prescribed Branding Implementation Plan and Marking Plan for the specific project (see **Section 7.13.1**, below). The COP or the Project Grants Manager should provide grantees the necessary instructions regarding these plans.

The grantee must provide to RTI one copy of all published works developed under the award with lists of other written work produced under the award. In the event that grant funds are used to underwrite the cost of publishing in lieu of the publisher assuming this cost, as is the normal practice, any profits or royalties up to the amount of such cost must be credited to the grant, unless the grant agreement has identified the profits or royalties as program income.

Except as otherwise provided in the terms and conditions of the grant, the author and/or the grantee is free to copyright any books, publications, or other copyrightable materials developed in the course of or under an award, but for USAID-funded projects, USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use—and to authorize others to use—the work for government purposes.

7.14.1 USAID Branding Implementation Plan and Marking Plan Requirements

2 CFR 700.16 requires that all programs, projects, activities, public communications, and commodities partially or fully funded by USAID under a USAID grant, and as defined in 2 CFR 700.16, be marked appropriately with the USAID Identity of a size and prominence equivalent to or greater than the grantee's, other donor's, or any other third-party's identity or logo. To comply with this regulation, Project Grants Managers should ensure that grantees understand and follow the Branding Implementation Plan and Marking Plan as prescribed by RTI.

7.14.2 Applicable Guidelines (USAID ADS 303) and Regulations (2 CFR 200) under USAID-funded Grants

USAID-funded grants must be administered in accordance with the guidelines in USAID ADS 303 and the regulations found in 2 CFR 200. Grantees are expected to comply with the

provisions of these guidelines and regulations, as applicable. *USAID ADS 303* can be accessed at <http://www.usaid.gov/ads/policy/300/303>

Although 2 CFR 200 is not directly applicable to non-U.S. organizations, as a matter of policy, USAID applies it to non-U.S. organizations to the extent practicable (USAID ADS 303.3.9.1(b)(2)). 2 CFR 200 can be accessed at <http://www.ecfr.gov/cgi-bin/text-idx?SID=12ac87ccfe859ca4c02abc695baa6227&mc=true&node=pt2.1.200&rgn=div5>.

8. Grants Monitoring

As a recipient of USAID and other awards, RTI is responsible for managing and monitoring its awards/grants issued under a project to assure appropriate completion of agreed-upon tasks and to maintain financial and regulatory compliance per client requirements. All grantees are subject to regular and periodic monitoring visits and periodic reporting requirements. RTI clearly identifies these reporting requirements in the grant agreement.

Supporting documents discussed in this section:

- **Project Monitoring and Oversight Plan (Attachment A20)**
-

The project, headed by the Project Grants Manager, should conduct periodic reviews of a grantee's compliance with the grant terms and conditions and the grant schedule, as well as conduct a review of the timeliness and quality of technical performance. As part of compliance with monitoring requirements, grantees must maintain books, records, documents, and other evidence that relate to adequately showing all costs incurred under a grant, the receipt and use of goods and services acquired under the grant, the costs of the project that were supplied from other sources, and the overall progress of the project.

For grants implemented by medium- or high-risk grantees, the project should create a Project Monitoring and Oversight Plan (see *Attachment A20*) based on the established performance benchmarks and the pre-award assessment of the grantee's grant management capabilities. The development and use of a Monitoring and Oversight Plan for low-risk grantees is at the discretion of the project team. Within the plan, the frequency of reporting and methods to validate performance should be specifically addressed (e.g., site visits to grantee's offices will be conducted on a quarterly basis).

8.1 Grants Monitoring Guidelines

Post-award, the Project Grants Manager should organize a kickoff meeting between the project team and the grantee to clarify RTI's expectations of the grantee with regard to programmatic, compliance, and financial requirements and to establish performance benchmarks for the grantee. When establishing these benchmarks, the project team should take into consideration the grantee's final approved Monitoring and Evaluation (M&E) Plan.

Grants monitoring may be accomplished through a combination of (1) monitoring through reporting and (2) monitoring through site visits, as described below.

8.1.1 Monitoring through Reporting

The monitoring of grant activities through reporting includes three levels of monitoring for compliance:

- Programmatic monitoring,
- Financial monitoring, and
- Administrative monitoring.

**Supporting documents discussed
in this section:**

- **Invoice Review Checklist
(Attachment A21)**
-
-

Programmatic monitoring is intended to compare a grantee’s actual accomplishments with the goals and objectives of the given period, as outlined in the grant agreement.

To allow for a comparison of accomplishments with goals and objectives, the Project Grants Manager and project staff should conduct a thorough analysis of the technical deliverables to make sure that the grantee is achieving the following:

- Capturing all the required accomplishments in the performance reports;
- Staying on track with the Implementation Plan;
- Performing activities according to the program description;
- Tracking and reporting on performance data that are part of RTI’s performance indicators; and
- Properly capturing “success stories.”

Financial monitoring is intended to ensure that a grantee has followed applicable regulations and spent the grant funds as intended. To ensure financial compliance, it is necessary that the project

- Review all invoices against the Invoice Review Checklist (see *Attachment A21*) to verify that
 - all of the costs are in the approved budget;
 - cost variances between budget categories are within the approved threshold (as crosschecked against the grant agreement);
 - no commodities were purchased where the unit cost exceeded the pre-approval requirement (as crosschecked against the grant agreement);
 - the grantee has complied with all provisions in the grant regarding foreign (non-U.S. Government) taxes (i.e., no taxes exceeding \$500 USD were paid for a commodity purchase transaction);
 - costs are incurred within the grant period;
 - supporting documentation for invoices is available, including receipts, copies of employee timesheets, etc.;
 - no restricted goods and/or ineligible goods were purchased;
 - cost share and/or leveraged funds (for public–private partnership projects) are reported and validated, and the grantee is meeting the cost-share requirement, if applicable:
 - labor costs are supported by timesheets; and
 - there is correlation between expenditure incurred and the project activities reported.
- Keep an up-to-date worksheet on advances, and make sure that advances are liquidated at least quarterly (or more frequently, if required in the grant agreement)
- Ensure compliance with other special provisions, if any, specified in the grant agreement.

For **administrative monitoring**, the Project Grants Manager and the project team should monitor grantees’ compliance with the following:

- Branding/marketing instructions for published materials (e.g., training books, brochures);

- Source and nationality requirements of the grant agreement (e.g., check authorized geographic code for procurement);
- Environmental regulations (as crosschecked against the requirements outlined in the grant agreement);
- Reporting requirements of the grant agreement;
- Annual or monthly report on foreign taxes paid (i.e., VAT), and evidence that the grantee made efforts to get reimbursed from the government;
- USAID audit requirement;
- Review of final audit report (conducted in accordance with 2CFR200 Subpart F-*Audit Requirements*, USAID ADS 591, or other external audit) and follow up with the grantee about any findings related to the grant activities/funds. **(Note that if the grantee will not address the findings before RTI's annual audit, then RTI has to disclose those findings to its auditors);**
- Proper procurement documentation (e.g., that vendor quotes and source, origin, and nationality are recorded); and
- Payment of local law statutory deductions (e.g., taxes, pension)

8.1.2 Monitoring through Site Visits

Site visits include visits to grantees' offices (required for the high-risk grantees, as described below), as well as to the grant activity sites.

The types of reviews described above for Monitoring through Reporting (i.e., Programmatic, Financial, and Administrative Compliance Monitoring) should also be conducted during site visits. Following all monitoring site visits, the Project Grants Manager should create a written report of the visit and any findings and maintain the report in the grant files.

It is recommended that the Project Grants Manager conduct a periodic review of the grantee's records and systems; **such reviews are required for high-risk grantees.** The review and monitoring technique should be based on the pre-award assessment and the identified system deficiencies, as well as special provisions of the grant agreement. The areas for review should include, but not be limited to, the following:

- Records, receipts, and timesheets;
- Procurement documentation (e.g., vendor quotes; selection memos; and source, origin, and nationality);
- Proper marking of equipment, vehicles, and other commodities as required;
- Source, origin, and nationality verification of the purchased commodities as required;
- Inventory of purchased commodities;
- Proper marking and branding of events, construction sites, etc.;
- Analysis of the quality of accomplishments;
- That legal registration is kept updated;
- Feedback solicited from beneficiaries/end users (should be filed); and

- Feedback solicited from the host country officials (should be filed).

8.2 Audits

RTI is responsible for ensuring that the proper audits are conducted in accordance with 2 CFR 200 Subpart F-Audit Requirements and USAID ADS 591 for USAID funds. In some circumstances, RTI may request a grantee to have an audit of grant activities that are below the regulated thresholds defined below.

8.2.1 2 CFR 200 Subpart F – Audit Requirements

U.S. nonprofit organizations that expend \$750,000 USD or more in Federal awards within their fiscal year must have a single or program-specific financial audit conducted for that year, in accordance with *2 CFR 200-Subpart F—Audit Requirements*. USAID bases the determination of when an award is expended on when the activity (e.g., expense transaction or disbursement of funds) related to the award occurs. *2 CFR 200-Subpart F—Audit Requirements* provides guidance on determining the Federal awards expended and can be accessed at:

http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2013

Federal agencies apply the provisions of the *2 CFR 200 Subpart F—Audit Requirements* to Nonfederal entities, whether they are recipients expending Federal awards received directly from Federal awarding agencies, or are subrecipients expending Federal awards received from a pass-through entity (a recipient or another subrecipient).

Policy Reference: 2 CFR 200 Subpart F—Audit Requirements

The *2 CFR 200 Subpart F—Audit Requirements* does not apply to commercial organizations and non-U.S. based entities that expend Federal awards received either directly as a recipient or indirectly as a subrecipient. When exempt, the grantee must make records available for review or audit upon request by USAID, RTI, or the General Accounting Office.

Foreign nonprofit organizations that expend \$300,000 USD or more during their fiscal year in “USAID awards” (i.e., as recipients of USAID cost reimbursement awards or as subrecipients), and host governments that directly expend \$300,000 USD or more per their fiscal year under USAID grants, must have an annual audit conducted in accordance with the requirements detailed in the *Guidelines for Financial Audits Contracted by Foreign Recipients*, published by the Office of the U.S. Inspector General.

Nonprofit organizations expending less than \$300,000 USD per their fiscal year under direct USAID cost-reimbursement awards, and host governments expending less than \$300,000 USD per their fiscal year under USAID grants, are exempt from the above audit requirements. Although laws and regulations do not require a financial audit, RTI as a Prime contractor is still responsible for ensuring accountability for those funds. As such, the project should use the Management Systems Questionnaire and the Site Visit Assessment Tool to determine the level of monitoring necessary for these organizations.

Program-specific audits are an allowable cost and can be used as part of the overall capacity building aspect of the grant program. Project Grant Managers should solicit the use of a local audit firm, provide the firm with a copy of the *Audit Guidelines* as contained in USAID’s ADS 591, and oversee the grantee’s audit process.

When RTI retains the services of the auditor directly, as opposed to the grantee entering into the relationship with the auditor, the Project Grant Manager must, under RTI Policy 13.13 “Procurement of Outside Legal and Accounting Professional Services,” obtain approval from the RTI Headquarters Finance Department for auditor selection (see Section 18 of the *International Finance and Accounting Operations Field Office Manual*).

Please note that Fixed Amount Awards **are not** subject to the annual audit requirements detailed in USAID ADS 591.3.2.1.

8.3 Remedies for Non-Performance of Grantee

If the monitoring process (either Monitoring through Reports or Monitoring through Site Visits) results in identifying deficiencies/violations, then the COP, in consultation with the iGAP Senior Grants Manager, should **notify the grantee in writing about the deficiencies and provide an appropriate amount of time to correct these deficiencies**. The iGAP Senior Grants Manager should receive a copy of the written notification. The RTI Project Grants Management Team may assist the grantee in a reasonable manner to address the deficiencies. In the event that the Project Grants Team provides assistance to the grantee, the team should document in writing the level of assistance provided. If the grantee cannot correct the deficiencies during the specified timeframe and/or is not responsive to RTI’s requests to do so, then project management may take further action, including recommending to iGAP to suspend or terminate the grant agreement.

8.4 Termination or Suspension

Standard termination or suspension conditions include the following:

- If a grantee fails to comply with terms and conditions of the grants agreement
- If there are changes in the requirements of the client or the program, such that the work to be completed varies significantly from the proposed activities
- The client reduces funding or terminates earlier than the grant period
- The client requests early termination
- Significant delays or challenges materially impact the grantee’s ability to implement the required work.

All grants may be terminated, and RTI will give notice of termination to the grantee in writing.

9. Grant Closeout

To ensure that RTI projects can be closed out efficiently, it is recommended that grants be closed 60 days prior to the overall project performance period. Exceptions may be provided on a case-by-case basis. The Project Grants Manager should send a closeout letter to grantees 60 days before the grant period ends notifying the grantee of the closeout requirements and the reporting schedule and providing guidance on any outstanding matters, such as property, audits, cost share, etc.

Closeout of grants awarded under the standard and simplified formats must comply with the terms in the agreement for the following:

- Submission of all financial and performance reports.
- Liquidation of all obligations incurred under the award, and refund of any outstanding cash balances
- Submission of inventory for all property procured with grant funds.

Grant closeout for FAAs will be accomplished with acceptance of the final milestone and the approval of final payment.

Upon finalizing the list of actions above, the Project Grants Manager should submit a closing report in GMS that follows RTI's Sample Closeout Report. The Sample Closeout Report can be found in *Attachment A22* and the Closeout Checklist can be found in *Attachment A23*. **The Project Grants Manager should consult the checklist for guidance on the proper planning steps and actions required in order to closeout a grant.**

Grants under USAID funding shall be closed out in accordance with 2 CFR 200.343.

**Supporting documents discussed
in this section:**

- **Sample Closeout Report
(Attachment A22)**
 - **Grant Closeout Checklist
(Attachment A23)**
-
-

Attachment A: Supporting Documents

Attachment A1 Grant Application and Award Form

Instructions:

1. *All applicants are required to complete and submit this application form.*
2. *All the attachments (A to E) referenced in this application are required parts of the application and must be attached to the completed application form. Therefore, a complete application should consist of this form and all the attachments.*
3. *By signing and submitting this application, the applicant attests to the Anti-Terrorism Certification in item 13.*
4. *Applicants must complete only Part I (items 1-14) and submit all the required attachments*
5. *Instructions for obtaining DUNS number(for grants of \$25,000 or more)*

Part I – Application – All applicants must complete ALL of Part I.

1. Date of application:	
2. Name of applicant:	
3. Address of applicant:	
4. DUNS Number: (instruction attached)	
5. Names and titles of officer(s) authorized to represent the applicant and his/her alternate: (a) Authorized Officer: (b) Alternate:	
6. Proposed period of performance:	
7. Proposed budget:	
Signature/Name/Title	

7. **Program Description (Required).** The applicant must describe in detail the program of activities proposed to be supported by the grant. The program description must be results-oriented. Result is a significant, intended, and measurable change in the condition of the beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent result(s) were achieved. An excellent program description should address the following:

(a) Applicant’s understanding of the “development challenge,” opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing. *How does the applicant know what needs changing? What appraisals, evaluations, needs analysis and other methodologies were used to understand what requires changing?*

(b) Applications must clearly identify the beneficiaries, their number, location, and anticipated benefits that they will receive. *What are the intended results (i.e., changes in conditions)?*

(c) The link of the challenge, opportunity, or problem to the key objectives of the overall project. *How will results contribute to the achievement of strategic objectives? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?*

8. **Implementation Plan (Required).** An excellent implementation plan should show how the anticipated results

would be achieved. *What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?*

9. Monitoring and Evaluation Plan (**Required**). An excellent Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. *For each result, what is*

the performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition and what is the unit of measurement? What are the plans for reporting and using the performance information?

Applicants are required to submit the **Program Description**, that includes **Implementation and Monitoring and Evaluation Plans** as **Attachment A** to this application.

10. **Budget and Budget Narrative (Required)**. Each application must contain a **detailed line item budget** accompanied by a **budget narrative** explaining all costs. Lump sum budgets will be considered non-responsive and will be rejected. An acceptable budget will have all costs broken out by unit costs and should clearly show the number of units used for each line item. Each line item should identify the type of cost, e.g., labor units, units of materials and/or equipment, travel, transportation, communications, etc. The narrative will describe how the applicant arrived at each unit cost and the number of units for each line item.

Applicants are required to submit the **Budget and Budget Narrative** as **Attachment B** to this application.

11. **Management Systems Questionnaire (Required)**. All applicants are required to complete the questionnaire attached to this application. U.S. Agency for International Development (USAID) regulations require RTI International (RTI) to obtain information from all applicants in order to determine an applicant’s ability to comply with prescribed standards for (a) financial management, (b) property management, (c) procurement, and (d) reports and records. Please answer all questions to the best of your ability; do not leave blanks. Failure to provide the necessary information may cause your application to be rejected.

Applicants are required to submit the completed **Management Systems Questionnaire** as **Attachment C** to this application.

12. **Past Performance References (Required)**. All applicants are subject to a past performance reference check. Applicants must provide name, address, and other contact information of at least three past performance references below.

Name	Address	E-mail	Telephone
(1)			
(2)			
(3)			

13. **Anti-Terrorism Certification (Required)**. It is **a mandatory requirement** by USAID and a condition of award that the applicant must certify that it does not support terrorism. Applicants unable to submit this signed certification will not be eligible for an award.

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

1. The applicant, 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.
2. The following steps may enable the applicant to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the applicant will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC) and is available online at OFAC’s Web site: <http://www.treas.gov/offices/eotffc/ofac/sdn/t1Isdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID through RTI.
 - b. Before providing any material support or resources to an individual or entity, the applicant 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 applicant 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 applicant also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

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."
- b. "Terrorist act" means:
 - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see United Nations terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>);
 - (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 shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of 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 applicant's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the applicant that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the applicant 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.

In Agreement to the terms and conditions above:

Name of Applicant Organization:	
Name and title of officer or his/her alternate authorized to represent the Applicant (either name that appears in Box 5 of this Application.	
Signature:	Date:

ORGANIZATION INSTRUCTIONS

PURPOSE OF THIS STEP:

The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS number identifies your organization.

This process should take no more than 2 business days.

WHAT IS A DUNS NUMBER & WHY DO I NEED OBTAIN ONE?

The **Data Universal Number System (DUNS)** number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. **Most large organizations, libraries, colleges and research universities already have DUNS numbers.**

Ask your grant administrator or chief financial officer to provide your organization's DUNS number. If your organization is **based in the U.S.**, a DUNS number can be requested by phone or online.

Webpage for phone number: http://fedgov.dnb.com/webform/pages/reqDuns_phone.jsp

If your organization is located **outside the United States**, you can request and register for a DUNS number through the following web site.

Webpage for registration: <http://fedgov.dnb.com/webform/displayHomePage.do>

This is the information you will need to have available in order to obtain the DUNS number. (If your organization does not already have one):

- Legal Name of organization
- Name of the organization CEO
- The primary type of business your company engages in (NCIA/SIC CODE)
*To obtain this code please go to www.naics.com/search.htm
(Also see list attached)*
- Any other name your business might be recognized by, i.e. doing business as (DBA)
- Physical organization address (city, state and zip code)
- Mailing address if separate from headquarters
- Telephone number
- Name of the primary contact person and his or her title
- Number of employees at your location
- Is this a home-based business?

If your organization does not have a DUNS number, use this Dun & Bradstreet (D&B) online registration process to receive one free of charge.

NOTE: Obtaining a DUNS number places your organization on D&B's marketing list that is sold to other companies. You can request not to be added to this list during your application

Attachment A2 Management System Questionnaire

For Grants to Non-US Organizations with Simplified and/or Fixed Amount Awards anticipated to be under \$150,000

RTI International uses this questionnaire to verify applicant has the capacity or potential capacity to adequately perform in accordance with the principles established by the US Government and other donors to ensure that its accounting, record keeping and overall financial management systems meet applicable standards and to determine if the applicant's system of internal controls is reasonable in the applicable cost principles.

Legal name of applicant organization: _____

Name and title of individual completing this questionnaire: _____

Signature of Individual Completing: _____

DUNS Number _____

A. General Information

1. Type of Organization: (Check either NGO or HG)

- Nongovernmental (NGO)
 Governmental (or host government [HG] institution)*

**An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, or local or state governments or agencies.*

(Check one below)

- Non-Profit
 Educational
 For-Profit
 Other _____

2 Is your organization incorporated or legally registered?

- Yes
 No

3. City and country of incorporation or legal registration: _____

4. Date of incorporation or legal registration: _____

5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

- Required to pay taxes on revenue/income
 Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

_____ Full-time employees
_____ Part-time employees or Volunteers

7. Has your organization received funding from any agency of the U.S. Government in the last 3 years?

- Yes
 No

If yes, please identify the source and specify the amount(s) received from each source, by year below:

8. What is your organization's fiscal year?

9. Do you anticipate expending \$300,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

- Yes
 No

B. Indirect/Overhead Rates

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?

- Yes
 No

If YES, please attach a copy to this Questionnaire and go to the next section.

If NO, does your organization plan to charge an indirect or overhead rate to the budget of the grant agreement?

- Yes
- No

If YES, please describe the basis upon how the indirect rate was determined.

2. Has the indirect rate been audited?

- Yes
- No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

3. Is the indirect rate charged equally to all funders of your organization?

- Yes
- No

If NO, Please explain.

C. Financial Management

1. Is your accounting system [] manual or [] automated? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

- Yes
- No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

- Yes
 No

4. Do you use a written chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

- Yes
 No

5. Is your accounting system capable of tracking and documenting the utilization (see above) of grant funds by source?

- Yes
 No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

- Yes
 No

7. What is the name of your organization's bank? _____

D. Personnel:

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

- Yes
 No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

- Yes
 No

If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

E. Procurement and Property Management System

1. Does your organization have a written procurement manual?

- Yes
 No

2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of \$3,000?

- Yes
 No

3. Do you have a property management manual?

- Yes
 No

Attachment A3
Management Systems Questionnaire (over \$150K)
Management Systems Questionnaire for Standard Cost
Reimbursement Grants

1. Legal name of applicant organization: _____
2. Name and title of individual completing this questionnaire: _____
3. Signature of Individual Completing: _____
4. DUNS Number _____

A. General Information

1. Type of Organization: (Check either NGO or HG)

- Nongovernmental (NGO)
 Governmental (or host government [HG] institution)*

*An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, or local or state governments or agencies.

(Check one below)

- Non-Profit
 Educational
 For-Profit
 Other _____

2. Is your organization incorporated or legally registered?

- Yes
 No

3. City and country of incorporation or legal registration: _____
4. Date of incorporation or legal registration: _____

5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

- Required to pay taxes on revenue/income
 Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

_____ Full-time employees
_____ Part-time employees

7. Has your organization received funding from any agency of the U.S. Government in the last 3 years?

- Yes
 No

If YES, please identify the source and specify the amount(s) received from each source, by year below:

8. What is your organization's fiscal year?

9. Do you anticipate expending \$300,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

- Yes
 No

10. Has the organization ever been audited in accordance with United States Federal Guidelines such as A-133 or ADS 591?

- Yes
 No

If so, covering what period? _____

What was the auditor's opinion? (Circle One)

Unqualified Approval / Qualified Approval / No opinion rendered

11. Is your organization currently or has ever been formally excluded (debarred or suspended) from receiving US Government funding?

- Yes
 No

B. Indirect/Overhead Rates

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?

Yes
 No

If YES, please attach a copy to this Questionnaire and go to the next section.

If NO, does your organization plan to charge an indirect or overhead rate to the budget of the grant agreement?

Yes
 No

If YES, please describe the basis upon how the indirect rate was determined.

Has the indirect rate been audited?

Yes
 No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

Is the indirect rate charged equally to all funders of your organization?

Yes
 No

If NO, Please explain.

C. Financial Management

1. Is your accounting system [] manual or [] automated? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

- Yes
 No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

- Yes
 No

4. Do you use a written chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

- Yes
 No

5. Is your accounting system capable of tracking and documenting the utilization (see above) of grant funds by source?

- Yes
 No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

- Yes
 No

7. What is the name of your organization's bank? _____

8. Do you agree to make all financial records relating to the utilization of grant funds available for audit?

- Yes
 No

9. Are duties and/or authorities separated so that no one individual has complete authority over an entire financial transaction?

- Yes
 No

10. Are transactions approved by persons having the authority to do so in accordance with established policies and procedures?

- Yes

No

11. Are key records matched before a transaction is approved (i.e., matching purchase order, receiving report, and vendor invoice before the invoice is approved for payment)?

Yes
 No

12. Are calculations, extensions, additions, and accounting classifications independently reviewed?

Yes
 No

13. Who (name/title/position) reviews requests for payments by the organization?

14. Who (name/title/position) approves payments made by the organization?

15. Who (name/title/position) signs on checks issued as payment by the organization?

16. Is it your policy and practice that the person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts?

Yes
 No

17. Is it your policy and practice that different persons prepare checks, sign checks, reconcile bank accounts, and have access to cash receipts?

Yes
 No

18. Do you use pre-numbered forms to record all of your financial transactions and account for the sequence of all numbers used?

Yes
 No

19. Is it your policy and practice that receiving reports, inspection documents, etc., are matched with billing notices or other documents used to record delivered orders and related liabilities to provide assurance that only valid transactions are recorded?

Yes
 No

20. Are vendor invoices and shipping documents date stamped and tracked to ensure they are recorded on a timely basis?

- Yes
- No

21. Are your source documents canceled after processing to provide assurance that the same documents will not be reused and will not result in recording transactions more than once (i.e., only original documents are used to process transactions)?

- Yes
- No

22. Are your financial statements prepared by authorized personnel having sufficient experience and expertise to ensure compliance with applicable accounting principles?

- Yes
- No

23. Who (name/title/position) prepares the financial reports for the organization? _____

24. How frequently does the organization prepare financial statements?

- Monthly
- Quarterly
- Annually

25. What financial monitoring systems are in place to ensure that activity budgets are not exceeded?

26. Are operating costs compared with approved budgets and variances explained?

- Yes
- No

D. Personnel:

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

- Yes
- No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

- Yes
- No

If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

E. Procurement and Property Management System

1. Does your organization have a written procurement manual?

- Yes
 No

2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of \$3,000?

- Yes
 No

3. Do you have a property management manual?

- Yes
 No

4. Are incoming and outgoing assets counted, inspected, and received or given up on the basis of proper authorization in accordance with established procedures?

- Yes
 No

5. Are assets on hand periodically inspected and counted, and the results compared with asset records?

- Yes
 No

6. Are there different individuals responsible for purchasing merchandise or services, receiving merchandise or services, and approving vouchers?

- Yes
 No

F. Reports and Records

1. Are cash receipt totals recorded before cash is transmitted for deposit?

- Yes
 No

2. Are secured facilities used when appropriate, and access to critical forms and equipment limited to authorized personnel?

- Yes
- No

3. Is access to programs and data files restricted to authorized personnel only?

- Yes
- No

4. Are assets and records protected against physical harm?

- Yes
- No

5. Are the sources of summarized data compared with the underlying subsidiary records and/or documents before the data are accepted for inclusion in summarized records and reports?

- Yes
- No

6. Are procedures followed to check the completeness and accuracy of data summarization, and exceptions reviewed and resolved by authorized persons?

- Yes
- No

G. Insurance

1. Does the organization maintain any of the following types of insurance? Copies of current insurance certifications (or insurance policy) should be available for review.

Worker's Compensation:

Yes No

Amount of Coverage: _____

Name of Carrier: _____

Property Insurance:

Yes No

Amount of Coverage: _____

Name of Carrier: _____

General Liability Insurance:

Yes No

Amount of Coverage: _____

Name of Carrier: _____

Other (please explain):

Amount of Coverage: _____

Name of Carrier: _____

Attachment A4 RFA Template

The following content can be used/modified and cut and paste into your RFA as instructions to grant applicants. This content should be used in cooperation with the Grants Application Form.

A reminder that all RFAs must be reviewed by the GMU prior to being released for solicitation.

Technical

Program Description

While there is no mandatory standard format for program descriptions, they should be results-oriented. Result is a significant, intended, and measurable change in the condition of a beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Results are linked by causal relationships: i.e., a result is achieved because related, interdependent result(s) were achieved. A standard program description should address the following:

- The applicant's understanding of the "development challenge," opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing. How does the applicant know what needs changing? What appraisals, evaluations, needs analysis, and other methodologies were used to understand what requires changing?
- What are the intended results (i.e., changes in conditions)? Applications must clearly identify the beneficiaries, their number, location, and anticipated benefits that beneficiaries will receive.
- The link of the challenge, opportunity, or problem to the key objectives of the overall project. How will results contribute to the achievement of IRs and/or SOs? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?

Applicants should provide this information as per the Program Description of the grant application form.

Implementation Plan

A standard Implementation Plan should show how the anticipated results would be achieved. What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?

Monitoring and Evaluation Plan

A standard Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. For each result, what is the

performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition and what is the unit of measurement? What are the plans for reporting and using the performance information?

Financial

Each application must contain a detailed line item budget accompanied by a budget narrative explaining all costs. An acceptable budget will have all costs broken out by unit costs and clearly show the number of units used for each line item. The narrative will describe how the grantee arrived at each unit cost and the number of units for each line item.

See the grant application form for instructions on submitting a detailed budget and narrative.

If cost share is required, the detailed cost share contributions should be inserted into the Budget and Budget Narrative.

Past Performance

All applicants are subject to a past performance reference check. Therefore, they must provide the name, address, and other contact information of at least three (3) past performance references, as required by the grant application form.

Duns & Bradstreet Number (DUNS#)

Grantees that receive more than \$25,000 from RTI are required to have a DUNS Number before receiving a grant award.

See the Grant Application Form for instructions on requesting a Duns & Bradstreet Number.

Certifications, Assurances, and Other Statements Of The Applicant For Usaid Funded Grants

The application should incorporate any of the required certifications based on the guidance below that are required for the type of organization, level/type of funding, flow down from the prime award or where the work will be performed. For Non USAID funded grants, RTI's Prime Award should be consulted for mandatory flow downs that should be incorporated into the application process or grant award. Please see below for information about various types of certifications.

In the certification, references to providing material support and resources shall not be deemed to include furnishing USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance (recipients of food, medical care, micro-enterprise loans, and shelter, among others), *unless* RTI 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.

Look-up Guide for Required Certifications and Assurances

Types of Certificates/Assurances	U.S. Organization	Non-U.S. Organization
1. Certification Regarding Terrorist Financing	Required	Required
2. Certification on Lobbying (SF-LLL)	Required if grant exceeds \$100,000	Required if grant exceeds \$100,000
3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals	See footnote ¹	See footnote ¹
4. Key Individual Certification—Narcotics Offenses and Drug Trafficking	See footnote ¹	See footnote ¹
5. Participant Certification—Narcotics Offenses and Drug Trafficking	See footnote ¹	See footnote ¹
6. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs	Required	Required if the program is partly undertaken in the United States
7. Certification of Compliance with the <i>Standard Provision</i> “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking”	Required if HIV/AIDS funds are obligated.	Required if HIV/AIDS funds are obligated

Addition information about various certifications and disclosures (if applicable based on conditions outlined) is provided below.

1. Certification Regarding Terrorist Financing

The Anti-Terrorism Certification is a worldwide USAID requirement (see Acquisition and Assistance Policy Directive [AAPD] 04-14, Supplemental Guidance for International Development Group [SG-IDG] 05-06 and SG-IDG 06-02). It applies to USAID grants and cooperative agreements to U.S. and non-U.S. NGOs applying for USAID grant funds. Its purpose is to provide USAID with assurances that it is not providing assistance to organizations that provide or have provided assistance to terrorists or for terrorist activity.

The latest version of the *Anti-Terrorism Certification* can be found at: <http://transition.usaid.gov/policy/ads/300/303mav.pdf>

¹ The requirement applies only to those subrecipients specifically designated by USAID to receive or provide more than \$100,000 in “covered assistance.” Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient selected by another party, or joint selection by USAID and another party, is not designation. See ADS 206.

All applicants are required to submit this certification, and project grant managers must obtain the certification prior to making an award. Project grant managers (or other project staff with responsibility for grants management and administration) must verify that the prospective grantee (individual or entity) does not appear on:

The master list of *Specially Designated Nationals and Blocked Persons* maintained by the Office of Foreign Assets Control (OFAC) of the U.S. Department of Treasury; or Master list of the *United Nations Security Council Committee* (i.e., “1267 Committee”);

2. Certification and disclosure form for Restrictions on Lobbying (SF-LLL)

This form is required only for grants in excess of \$100,000. Further guidance can be found in 22 CFR 227.

The *Anti-Terrorism Certification* and *SF-LLL* can be found in **Attachment B** of this document.

3. **Drug Trafficking Certifications** (see sections on Covered Assistance, Covered Countries, and Covered Participants for applicability):

- Prohibition on Assistance to Drug Traffickers;
- Key Individual Certification—Narcotics Offenses and Drug Trafficking; and
- Participant Certification—Narcotics Offenses and Drug Trafficking.

Policy Reference: ADS 206.3.10.

4. **Policy section 487** of the U.S. *Foreign Assistance Act* (FAA) requires that reasonable steps be taken to ensure that assistance is not provided to or through drug traffickers or persons with narcotics convictions. "Key individuals" (as defined below) of certain entities and covered participants must provide the **Certification referenced below before the grant is signed.**

Key individuals. A key individual is defined as an official of a public or private entity that is receiving assistance, who may be expected to principally control or benefit from the assistance, e.g., the principal operating officer of a firm. In the case of U.S. NGOs, the key individual is the in-country project manager or similar official principally responsible for administration of the USAID-financed activity. In cases where there is no in-country presence, there is no requirement to identify U.S.-based key individuals. In light of the many types of organizations and scopes of agreements, it is difficult to set forth any definitive criteria for the identification of key individuals of non-U.S. NGOs. For example, when a grant is not a substantial part of the total support of the organization, the key individual is normally only the project manager or another in-country person principally responsible for administration of the grant. In contrast, if USAID grants are a

substantial portion of an in-country, non-U.S. NGO's support, the key individuals are typically the in-country principal officers of the organization.

Key individuals of U.S. and non-U.S. NGOs must complete the **Key Individual Certification** (or a substantive alternative) before agreements providing covered assistance are signed. The certification can be downloaded from:

<http://www.usaid.gov/ads/policy/200/20657m1> **Covered assistance.** Covered assistance is considered a contract, grant, cooperative agreement, guarantee, or other agreement in a covered country that meets the criteria relating to amount, funding source, and recipient.

Covered countries. The covered countries are those identified annually by the U.S. President as major, illicit, drug-producing or drug-transit countries under section 706(1) of the Foreign Relations Authorization Act (FRAA), Fiscal Year (FY) 2003 (Public Law 107-228), as well as any country or portion of a country that the U.S. State Department determines is to be treated as a covered country under the 487 Policy Regulations. As of September 2012, the President has identified the following countries: **Afghanistan, The Bahamas, Belize, Bolivia, Burma, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Haiti, Honduras, India, Jamaica, Laos, Mexico, Nicaragua, Pakistan, Panama, Peru, and Venezuela.**

Covered participants. A covered participant is a USAID-financed participant (including in-country) receiving a scholarship, fellowship, or other structured training of more than six hours, but only where USAID specifically approves the individual participant. Individuals receiving assistance at any tier, and regardless of the cost of training, are covered participants. In other words, the procedures apply, whether USAID is funding and administering training directly, through host governments, or through NGO implementing entities. There is no monetary threshold for covered participants. **Subrecipients.** The 487 Policy Regulations apply only to those subrecipients who are specifically designated by USAID to receive or be provided with more than \$100,000 in covered assistance.

Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient selected by another party, or joint selection by USAID and another party, does not constitute designation.

5. Assurance of Compliance with Laws and Regulations Governing

Nondiscrimination in Federally Assisted Programs. For U.S. organizations, a signed copy of this certification is required. This certification is applicable to non-U.S. organizations only if any part of the program will be undertaken in the U.S.

Policy Reference: ADS 303.3.8(a).

6. Certification of Compliance with the Standard Provisions entitled "Condoms" and "Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking." This is required when financing HIV/AIDS activities.

**Attachment A5
Conflict of Interest Certification**

Attachment B-1

CONFLICT OF INTEREST CERTIFICATION

(Project Title)

1. Confidentiality of Applications

I, _____, hereby confirm that will evaluate all the applications received under (Quote the RFA) against the published evaluation criteria.

I agree to discuss the contents of the applications only with the Evaluation Committee members.

I also agree not to contact the applicants concerning any aspect of their applications and not to use any information for personal gain.

2. Conflict of Interest

I, _____ hereby certify that to the best of my knowledge, I do not have a conflict of interest and that my particular circumstances are not likely to raise the appearance of a conflict of interest.

For the purposes of this matter, I understand that such a conflict of interest may arise if I, my spouse or partner, child close friends or relatives, work for, are negotiating to work for, or have a financial interest (including being an unpaid member of a Board of Directors) in any organization that submitted an application that is under committee's review.

I also acknowledge my responsibility to disclose the acquisition of any financial or personal interest as described above that would be affected by the matter, and to disclose any interest I, or anyone noted above, has in any person or organization that does become involved in, or is affected at a later date by, the conduct of this matter.

Signature

Date

Title

Attachment A6
Memorandum of Negotiations Template

Attachment D

Memorandum of Negotiations (Grants)

I. Name of grantee:

II. Type of grant:

This section should state the type of grant: Fixed Amount Awards (FAA), Simplified Cost Reimbursement Grant (SIG), or Standard Cost Reimbursement Grant (STG).

If the FAA format will be used, this section should include a justification for using this format. The appropriate use of a FAA should be based on the following factors:

- 1) The ability to easily identify and quantify programmatic accomplishments or results in establishing grant and payment milestones.*
- 2) Limited risk that there could be changes to the program and the budget; and*
- 3) Adequate cost (historical or unit pricing) available to determine and negotiate the fixed price of the grant.*

The justification for the use of the FAA format should address the three factors listed above. The following are some guidelines for a proper justification:

- 1) Measurable (and verifiable) quantification of programmatic accomplishments or results and how these are linked to payment milestones. For example, the following is not an adequate description of a milestone: "Improved delivery of health services in the community." This statement does not describe how the health services will be improved and how the improvement will be measured and quantified. An appropriate milestone for this purpose would be: "By the 45th day of the grant period, the grantee should have delivered the following health services (enumerate the services to be provided) to 150 households in the community."*
- 2) Limited or no changes to the program and budget. Here is an example: "Changes to the program and budget are not anticipated because this grant is only for a three-month period and the costs included in the budget (books and other printed materials, room rental, registration fees, etc.) are not expected to change since we the quotations received from vendors have been guaranteed by the vendors to be valid for the three-month period of the grant."*
- 3) Cost analysis: "The cost of each item included in the budget has been verified by (name of staff who actually verified the costs) as follows (describe how the costs were verified)." This justification of costs will not be adequate: "We determined the costs to be fair and reasonable based on past experience and historical data."*

III. Initial grant budget proposal:

IV. Final and approved grant budget:

V. Brief description of the grant program:

This section should address the following:

- What is the overall purpose of the grant?*
- What specific objectives will be accomplished by the grant?*
- How will these specific objectives be accomplished through the activities that will be performed under the grant?*
- How will the accomplishment of these specific objectives be measured and documented?*

Attachment D

VI. Solicitation process and selection criteria:

A. Description of the solicitation process.

This section should describe how grant applications were solicited. Was an RFA issued? Is this an unsolicited application? Is this application exempt from competition? If so, please discuss the basis of exemption under the conditions specified in ADS 303.3.6.5. When citing a condition for exemption from competition such as “exclusive or predominant capability”, for example, please discuss how the applicant’s exclusive or predominant capability has been established. It is not sufficient to simply state that the application has exclusive or predominant capability.

B. Selection criteria.

This section should state the selection criteria used in the evaluation below.

C. Technical evaluation.

This section should identify the strengths and weaknesses of the grant application using the selection criteria above. It should also include a discussion of how the weaknesses were addressed or to be addressed by the applicant as a condition of award.

D. Cost analysis.

This section should describe the review and evaluation of each element of cost to determine reasonableness and allowability of the cost. It should include a discussion of significant adjustments to the budget (up or down) as a result of the cost analysis performed and a discussion of the basis for determining the reasonableness of the costs included in the final negotiated budget.

Attachment D

E. Past performance:

This section should summarize the findings of the verification of the applicant's past performance and address the following:

- *How well an applicant performed,*
- *Instances of good performance and significant achievements,*
- *Instances of poor performance and significant problems, and*
- *Relevancy of the above to the specific activities to be performed under the grant application.*

F. Responsibility determination:

This section should summarize the findings of the pre-award survey to determine the applicant's ability or potential ability to comply with the following standards:

- *Financial management (2 CFR 200.300-309),*
- *Property standards (2 CFR 200.310-316),*
- *Procurement standards (2 CFR 200.317-326), and*
- *Reports and records (2 CFR 200.327).*

Risk Rating: After reviewing all the pre award documents, the Grant Manager should identify the risk rating of the proposed applicant: High, Medium or Low Risk.

G. Required certifications:

*This section should confirm that the applicant has fully completed and submitted all required certifications, including the additional verification of the applicant's records using **Bridger Insight**.*

VII. Award decision:

This section should discuss the final decision to award the grant based on the score/ranking received under the selection criteria above. It should also include a discussion of the USAID CTO's involvement in the final decision to make the grant award.

Prepared by: _____
Grant Manager

Date:

Endorsed by: _____
Chief-of-Party

Date:



Appendix A7 Site Visit Assessment Tool

See Instructions and Additional Help for Using RTI's Grants Site Visit Assessment Tool

Name of Organization:

Date of Assessment:

Individuals Attending:

General Information:

of Staff:

of Finance Staff:

Average Monthly Spend (over the last 12 mos):

Pre Award Visit or

Monitoring Visit

Summary of Findings (provide narrative that speaks to documents reviewed, weaknesses found or anything out of the ordinary worth noting)

Accounting Procedures

Internal Controls

Budgeting, Audit and Cost Share

Policy Environment

Assessment Scales

Risk Scoring:

Based on the percentage of “no” answers to the questions below.

High	51 -100%	Not found/Never or “No”
Moderate	20 - 50%	Always/Strong Capacity or “YES”
Low	0 - 19%	N/A Not Applicable

The elements of the tool are phrased to elicit a yes or no answer; however, Not Applicable is also a valid response.

Count the response types and insert into table below for calculation of the Percentage:

# of "Yes" Responses	56		
# of "No" Response	15		
# of "N/A" Responses	20		
Total Responses	91		
(Hint Total Should = 91)		Score =	21%

Risk Level Score (See RTI’s Grant Administration Manual for further information on Pre Award Survey and Monitoring Guidelines.)

A. ACCOUNTING PROCEDURES		Yes/No/N/A	COMMENTS
General Accounting Procedures			
1	There is a written policy on accounting and it is based on a national or international standard.		
2	“Cash” or “Accrual” system is defined and applied on a consistent basis		
3	There is a computerized electronic system of accounting. <i>Answer should be “NO” if Excel or similar program is the system.</i>		
4	The accounting system separates income and expenses by separate donors <i>If the answer for #3 is “NO”, then answer “NO” to this question.</i>		
5	Accounting entries made timely. <i>Answer should be “NO” if entries are made only made 1 time per month.</i>		
6	All advances are reconciled and tracked against the donor or funder and project for which the advance was taken.		
Receipts and Handling of Cash			
7	Procedures and responsibilities are clearly defined. For example, only the cashier is authorized to receive cash		
8	Pre-numbered receipts bearing the name of the organization are issued for all cash receipts		
9	Unused receipt books and voided receipts are kept properly secured and there are proper procedures as regards their issue		
10	All cash received is recorded and deposited in the bank		
11	There are adequate security arrangements as regards custody and transit of cash		
Recording			

12	All payments are supported by payment vouchers or other supporting documentation, Vouchers are properly supported by adequate documentation and explanations This documentation may include: local purchase order, quotations, invoices, receipts, correspondence, proof of		
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	delivery; supporting documentation are filed in the order in which they are entered in the cash book and can be readily found		
13	Documents are properly approved for payment and cancelled (ie. stamped PAID) upon payment		
14	Payments are properly allocated to the correct project		
15	There is proper control over use and safekeeping of checks. <i>Answer should be "NO" if the check book is kept in an unlocked drawer or office.</i>		
16	All checks or funds transfers are signed jointly by two of at least three signatories (one check signatory is someone other than the person who has authorized payment)		
17	No checks are signed in blank		
Bank Accounts			
18	Bank reconciliations are prepared on a monthly basis		
19	Bank reconciliations are checked and approved by someone other than the one who prepared the reconciliation, followed up promptly and out of date items written off		
20	There are adequate controls as regards signing of checks. For instance, above a certain threshold, more than one signatory is required.		
21	If bank accounts are maintained in both USD and local currency, are USD amounts converted to local currency in accordance with the country's legal requirements, and adequately supported. <i>Answer should be "N/A" if the bank is only in local currency.</i>		
Petty Cash Records			
22	There are no "IOU's", or similar payments entered in the petty cash book Note: These may come to light when the cash reconciliation is controlled by a person other than the petty cashier.		
23	The petty cash impress (float) is established at a reasonable level		

24	Petty cash expenses are supported by adequate documentation and reconciled timely		
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25	Petty cash is properly secured in a cash box with limited access to unauthorized personnel. <i>Answer should be "NO" if the box does not lock or kept in an unlocked office.</i>		
Financial Reporting			
26	Are any reports generated periodically from the ledger for review by management? (At least monthly)		
27	The authorization of the executive director (or equivalent position) is required when it is proposed to open new accounts or close old ones		
28	Are funds from different donors tracked separately? How? Are separate bank accounts used or is the accounting system computerized?		
29	If an automated accounting system is in use, is there a mechanism in place to ensure that the accounts cannot be manipulated after period closure?		
Journal			
30	Transfers between one ledger account and another are recorded in a journal which shows the reason for the transfer and supporting documentation is attached as appropriate and approved by Finance Director or equivalent. <i>Answer should be "NO" if there is evidence that costs are moved to different sources after the original charge/expense is recorded.</i>		
Trial Balance/General Ledger			
31	A trial balance is prepared within a reasonable time at the end of each month, accurately lists all account balances and agrees with the figures on the monthly financial report		
Payroll and Salary			
32	Adequate payroll records are kept, are accurate and negotiated salaries and increments are the basis for payment based on personnel contracts.		
33	There are adequate procedures to ensure that pay is correctly calculated, adjustments being made where appropriate for unpaid leave, overtime, etc.		

34	The payroll is reviewed, authorized and countersigned by the Finance Director or equivalent		
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35	Time sheets are completed by all employees under USAID or USG funding, and are countersigned by an immediate supervisor. Payments are correctly charged to cost centers based on the time sheets.		
36	Someone other than the person who prepares the payroll is responsible for paying out wages to employees.		
37	All payroll taxes and other deductions are properly calculated in accordance with local regulations and paid timely.		
B. INTERNAL CONTROLS		Yes/No/N/A COMMENTS	
Approval Controls			
38	Specific transactions are approved by persons having the authority to do so in accordance with established policies and procedures		
39	Key records are matched before a transaction is approved (matching purchase order, receiving report and vendor invoice before the invoice is approved for payment)		
Segregation of Duties: If there is only one Admin/Finance staff in the organization, then all answers should be “NO”, unless the organization has established an equally suitable segregation.			
40	The individual responsible for procuring goods and services and selection does not prepare checks, sign checks or reconcile the bank accounts, and is not responsible for non-cash accounting records such as accounts receivable, the general ledger or the general journal		
41	The person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts		
42	Different individuals are responsible for purchasing merchandise or services, receiving merchandise or services and approving vouchers		

Safeguards over Records			
43	Cash receipt totals are recorded before cash is transmitted for deposit		
44	Secured facilities are used when appropriate, and access to critical forms and equipment is limited to authorized personnel		
45	Procedures are established to provide reasonable assurance that current files can be recovered in the event of a computer failure		
C. BUDGETING, AUDIT AND COST SHARE		Yes/No/N/A	COMMENTS
Budgeting and Reporting			
46	Grant/Contract conditions are communicated to all interested parties		
47	Monthly financial statements are compared to approved budget and material variances are addressed		
48	Policy and practice provide evidence that financial reports are: summarized monthly, tie directly to established set of accounting records, communicated with key management staff within reasonable time		
Auditing			
49	Audit contract(s) are clear in scope/program and authority. If the organization is a US organization and receives over \$500,000 in USG funding annually does it have a A-133 equivalent audit annually and provide it to the donor? If the organization is a non-US or foreign organization and receives \$300,000 or more in USG funding annually does it have an annual audit consistent with " <i>Guidelines for Financial Audits Contracted by Foreign Grantees</i> " if the thresholds do not apply, answer should be "N/A".		
50	Project auditors are licensed to perform audits, independent of the functions, arranged each year. Answer should be "N/A" if "N/A" above.		

51	The management committee and governing body consider the report and recommendations of the auditor at the meeting		
	when the annual accounts are discussed. <i>Answer should be "N/A" if "N/A" above.</i>		
COST SHARE/MATCH			
52	If the organization is required to cost share, does it maintain verifiable records of match reported? <i>Answer should be "N/A" if the grant does not require cost share or leverage.</i>		
53	Is the cost share reported only for one USG funded program? <i>Answer should be "N/A" if the grant does not require cost share or leverage.</i>		
54	Is the cost share directly supporting the program or project and necessary and reasonable for proper and efficient accomplishment of project or program objectives? <i>Answer should be "N/A" if the grant does not require cost share or leverage.</i>		
INDIRECT COST			
55	Has the organization undergone an audit to certify their proposed indirect cost rate? If yes, identify when and by whom? <i>Answer should be "N/A" if the organization does not have an indirect rate.</i>		
56	Does the organization allocate indirect costs appropriately? If the organization charges direct amounts to projects based on a shared method, verify how it is handled internally.		
E. POLICY ENVIRONMENT		Yes/No/N/A	COMMENTS
ETHICS			
57	There is a written employment or HR policy. It is objectively reasonable and universally applied		
58	Policy and practice demonstrate attention to prohibition of nepotism or favoritism under hiring, vendor and subcontract selection		

59	Policy and practice dictate that employees are not permitted to hold office or positions in other companies or bodies with which the organization has contractual relationships. Disclosure of potential “conflict of interest” is included in documented policy.		
60	Policy prohibits absolutely any illegal dealings on behalf of itself or other parties		
61	There is no evidence of instances of employees being involved in their own private enterprise during office hours		
Organizational Policy and Governance			
62	Documented policies establish events and/or transactions that the organization is authorized to engage in accordance with law, regulation or management policy		
Personnel Policy and Management			
63	The management has a list of all staff employed, their designations and remuneration levels		
64	Each new employee is interviewed before s/he is employed		
65	A Contract of Employment in writing is prepared for each employee (before commencing employment), and signed by both Employer and Employee		
66	Written Job Descriptions are prepared for each employee, showing what each person is expected to do, when it should be done and to whom they are accountable		
67	A personnel file is kept for each employee, with details of salary and other personnel matters		
68	Salary rates (and any changes to these) are authorized by the appropriate governing body		
69	The organization has written internal regulations covering such matters as hours of work, holidays, sick leave, discipline, dismissal, etc		
70	Adequate and appropriate financial provision is made for pensions and /or gratuities for retiring employees		

Travel/Transport Policy and Management			
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71	The organization has a travel policy and applies it on a consistent basis meaning each donor is charged the same amount for travel		
72	Travel cost reimbursement for staff, both domestic as well as regional/international is clear in policy and practice		
73	Mechanisms exist for reporting and liquidating travel expenses		
74	If applicable to the grant, vehicles are garaged in a safe place, use is controlled, limited to business of the project, limited to licensed drivers,		
75	The users of vehicles maintain the vehicle log book, showing date, journey details, kilometers at start and end particularly if vehicle is being utilized under USG funding		

Property Policy and Management			
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76	The organization has suitable premises to accommodate the staff and to carry out its activities		
77	If the organization owns land or buildings: the title deeds are legally registered, and kept in a secure place		
78	Leases (tenancy agreements) have been prepared for all property rented to or from the organization		
79	Someone has been nominated as responsible for the proper maintenance of all property		
80	Adequate insurance has been taken out against fire, burglary, public liability, etc.		
81	An up-to-date fixed assets register is maintained		
82	The fixed assets inventory is complete and regularly checked by management		
83	Additions and disposals of assets are authorized and properly recorded in the accounts		
84	Assets are kept in suitable and secure locations		

85	Donated assets are properly valued and recorded		
86	Assets are properly marked and labeled – USAID funded assets have correct marking		
Procurement Policy			
87	All procurement is authorized with different authorization levels for different thresholds		
88	All procurement is supported with adequate documentation including quotations, requisition notes, purchase orders		
89	A competitive solicitation process is practiced and justification for selection of vendor documented per threshold amount		
90	Service agreements prices are checked every six months for current best price/value information		
Project Management			
91	Does the organization have a system that can track funds received and used by project? If so, are these reports shared with project managers?		

*This assessment incorporates many elements from the following publications:
 USAID General Notice, M/MPI and M/OP, 08/06/1999” Control Environment and Risk Assessment Checklist”*



Attachment A8 FAA Grant Agreement Template

GRANT AGREEMENT

Between

Research Triangle Institute (RTI)

And

[Grantee Name]

Grant Summary:

1. Grant Number	
2. Type of Grant	Fixed Amount Awards
3. Grant Activity Title	
4. Grant Administrator	US Address: Research Triangle Institute (RTI) 36040 Cornwallis Road - P. O. Box 12194 Research Triangle Park, NC 27709-2194 – USA COUNTRY Address:
5. RTI Grants Officer	Riyzal Bahdari
6. Grantee	
7. Grantee's Point-of-Contact	[Insert Official mailing address] [Insert Email address and phone number]
8. USAID Contract No	
9. Project Title	
10. RTI Project No	
11. Period of Grant	Start Date: End Date:
12. Grant Ceiling	
13. RTI Technical Monitor	
14. RTI Grant Manager	

15. Incorporated Documents	Attachments A-C
ATTACHMENTS:	
Attachment A: Project Description	
Attachment B: Project Budget	
Attachment C: Mandatory Standard Provisions for Fixed Amount Awardss	

This Grant is awarded to **XXXX** (hereinafter called "Recipient" or "Grantee") and administered by **Research Triangle Institute** (hereinafter called "RTI"), a not-for-profit corporation existing under the laws of the State of North Carolina, USA and having its principal place of business at 3040 Cornwallis Road, Research Triangle Park 27709-2194, under above mentioned award between USAID and RTI to support implementation of the XXXXXX (Project Title) (hereinafter called "Project").

Whereas:

- A. This Grant will implement specific activities that will contribute to achievement of the overall Project Objectives.
- B. This Grant shall not (i) create the relationship of principal and agent, employer and employee, joint venture, or business partnership between RTI and the Grantee; and (ii) establish privity of contract between USAID and the Grantee.
- C. Authority of Agent: Designated agents on behalf of the Grantee and RTI are the sole authority authorized to make amendments and any other substantive changes to the Grant Agreement Terms.

Now, therefore, in consideration of the promises and of the mutual covenants and Agreements contained herein, and intending to be legally bound, RTI and the Grantee hereby agree to the following terms and conditions of this Grant.

Article 1. PROGRAM DESCRIPTION

The purpose of this Grant is to provide support for the activities described in the Program Description in **Attachment A** of this Grant Agreement.

Article 2. PERIOD OF GRANT

The period of performance for the grant activities is XXXXX to XXXXX.

All activities financed with Grant funds will not commence prior to the Grant Activity Start date, and will be completed and will cease no later than the Grant Activity Completion Date; unless RTI provides approval of a time extension in writing prior to the specified Grant Activity Completion Date. No Grant award will provide for retroactive funding.

Article 3. CEILING AMOUNT OF AWARD AND BUDGET

RTI hereby awards the amount of XXXX for the purposes of this Grant. See complete Budget in Attachment B.

Payments will be made to the Grantee upon presentation to RTI a properly prepared invoice, with a certification that the Milestone being billed has been completed and providing any other documentation required by RTI specified for that Milestone in the chart below. An invoice format may be provided upon award of this Grant. Each invoice shall include the following: Grant Number, Milestone being billed and fixed amount associated with that Milestone.

On submission of the invoice for the final Milestone, the Recipient shall certify that the Grant is completed and the Recipient will make no further claim against RTI after final payment.

Article 4. PAYMENT MILESTONES AND DISBURSEMENT SCHEDULE

The approved Payment Milestones and disbursement schedule:

Milestone	Description of Milestone	Required Deliverable	Completion Date (if applicable)	Amount (Local Currency or USD)
1	(Example: Acceptance of a detailed workplan and M&E plan)	Example: Approved workplan and M&E plan, showing concurrence by Stakeholders		
2				
3				
4				
5	Example: Final Report with summary of goals and required indicators	Example: Submitted Final Report demonstrating program goals were met		
Total				\$

Article 5. PROGRAM REPORTING The Grantee shall submit Program Reports on a quarterly basis to the Technical Monitor. Quarter 1 ends xxxxx.

The reports are due by the 15th of the month following the period being reported.

The Grantee will be responsive to requests for programmatic information and results by the Technical Monitor. RTI will conduct monitoring of the program activities, including site visits as appropriate.

Article 6. ASSIGNMENT

The Grantee may not assign its rights and obligations under this Grant or engage sub-grantees or contractors without prior written approval from RTI.

Article 7. REPORTING OF FOREIGN TAXES

The Grantee shall follow the procedures outlined in the Standard Provision “Reporting of Foreign Taxes (March 2006) for reporting taxation of funds under this Grant.

The Grantee should report if any foreign taxes have been paid with USAID funds for commodity transactions over the amount of \$500. Grantee should not pay or should try to recover all foreign taxes paid with USAID funds. Grantee should include in the financial reports all foreign taxes paid and/or recovered. The Grantee should submit to RTI an annual report on the Foreign Taxes paid, by March 15th of the next year, or at the end of the Grant, whichever is earlier.

Article 8. MARKING

The Grantee shall follow the procedures outlined in the Standard Provision “Marking Under USAID” for marking procedures under this Grant in Attachment C.

Article 9. PROCUREMENT

The authorized geographic code for procurement of services and goods under this Grant is XXXXXXXXXX. Non compliance with this provision will result in disallowance of costs.

- ✚ **Goods:** Any procurement of equipment with a unit value of more than \$1000 must be pre-approved by RTI.

Article 10. TITLE TO PROPERTY

Title to all property purchased under this Grant shall be vested in RTI and subject to the conditions in 2 CFR 200.310-316. Property in this Grant is defined as non-expendable equipment having a value of greater than \$1,000 and useful life of at least 1 year. 60 days before the end of the Grant period, the Grantee shall request disposition instructions from the Project for all items of equipment purchased with Grant funds, if any.

Article 11. RECORDKEEPING, RIGHT OF INSPECTION AND AUDIT

Right of inspection: RTI reserves the right to review all program related documentation, and any documents related to proper compliance during the implementation of the Grant and up to a period of 3 years after the end-date of this Grant. Therefore, Grantee agrees to maintain records funded by this Grant for the period above.

The Grantee will commit to eliminate all the deficiencies or refund RTI for any unallowable costs found in resulting Inspection Report within 60 days.

Article 14. TERMINATION AND SUSPENSION

This Grant may be terminated by RTI at a date earlier than the proposed end-date under the following conditions:

- 1) Significant change in the scope of work: If the requirements of the donor or the program change such that the work to be completed varies significantly from the proposed activities.
- 2) Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the proposed end-date.
- 3) As a requirement of the donor: In the event the donor requests early termination of the Grant.
- 4) Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities.
- 5) (For Grants-under-Contracts) USAID has a right to terminate the Grant under extraordinary circumstances.

The Grantee will be notified in writing of proposed termination or suspension and outline close out procedures of the Grant.

Article 15. LIABILITY

RTI does not assume liability for any third party claims for damages arising out of this Grant.

Article 16. DISPUTES

Any dispute under or relating to this Grant shall be decided by the RTI Grant Officer.

Article 17. MANDATORY STANDARD PROVISIONS FOR FIXED OBLIGATION GRANTS TO NONGOVERNMENTAL RECIPIENTS

The Grantee should comply with the Standard Provisions contained in Attachments C.

Article 17. ORDER OF PRECEDENCE

Any conflict between any of the provisions and attachments to this Grant shall be resolved by applying the following order of precedence:

1. Articles of this Grant and all Attachments
2. Applicable USAID regulations

IN WITNESS OF THEIR AGREEMENT and their acceptance of its terms and conditions, RTI and the Grantee hereby execute this Grant.

RTI International	[Grantee Name]
Signature:	Signature:
Name:	Name:
Title: Sr. Grants Manager, Office of International Grants and Procurement	Title:
Date:	Date:

Attachment A9
Mandatory Standard Provisions for FAAs to
Nongovernmental Recipients

Attachment G

Links to Standard Provision Text:

1. Standard Provisions for US based Nongovernmental Recipients

<http://transition.usaid.gov/policy/ads/300/303maa.pdf>

2. Standard Provisions for Non US based Nongovernmental Recipients

<http://transition.usaid.gov/policy/ads/300/303mab.pdf>

3. Standard Provisions for Fixed Amount Awardss to Nongovernmental Organizations

<http://transition.usaid.gov/policy/ads/300/303mat.pdf>

The links are provided in lieu of actual text due to the frequency in which the documents are updated by USAID. The chart below outlines the applicability:

	Standard Provision for US based NGO	Standard Provision for Non US NGO	Standard Provision for FAAs to NGOs
Applicability	Standard Grants (STG) above Simplified threshold for US based organizations ONLY	Standard Grants (STG) above Simplified threshold for NON US organizations	Fixed Amount Awards Only – the provisions are broken into Mandatory and As Applicable. All FAAs should attach the Mandatory clauses and only the As Applicable that are required by the Prime Contract/Cooperative Agreement.
Key differences:	For Standard Grants, define the requirements of Grants and Cooperative Agreements, cross references Allowability Standards, 2 CFR 200 and 228.	For Standard Grants, define the requirements of Grants and Cooperative Agreements, cross references Allowability Standards, 2 CFR 200 and 228. Clauses that differ between US and Non US: Advance Payment, Indirect Costs, Audits	Less flow downs that for Standard Grants, represents the minimum that are typically covered in the application and grant agreement such as terrorist financing and marking regulations
	USAID wrote the Standard provisions to apply to the Prime Recipient. There are times that the Standard provisions contradict the language in RTI’s grant agreement. For example, Advance Payment terms for Prime Recipients do not apply to RTI’s subgrantees. This is when the term in the grant agreement will take precedence over the Standard provision.		



Attachment A10
Simplified Cost Reimbursement Grant Agreement Template
GRANT AGREEMENT

Between

Research Triangle Institute (RTI)

And

[Grantee Name]

Grant Summary:

1. Grant Number	
2. Type of Grant	Simplified Cost Reimbursement Grant
3. Grant Activity Title	
4. Grant Administrator	US Address: Research Triangle Institute (RTI) 36040 Cornwallis Road - P. O. Box 12194 Research Triangle Park, NC 27709-2194 – USA COUNTRY Address:
5. RTI Grants Officer	Riyzal Bahdari
6. Grantee	
7. Grantee's Point-of-Contact	[Insert Official mailing address] [Insert Email address and phone number]
8. USAID Contract No	
9. Project Title	
10. RTI Project No	
11. Period of Grant	Start Date: End Date:
12. Grant Ceiling	

13. RTI Technical Monitor	
14. RTI Grant Manager	
15. Incorporated Documents	Attachments A-C
ATTACHMENTS:	
Attachment A: Program Description	
Attachment B: Project Budget and Narrative	

This Grant is awarded to **XXXX** (hereinafter called "Recipient" or "Grantee"), having its principal place of business at **XXXXXX** and administered by **Research Triangle Institute** (hereinafter called "RTI"), a not-for-profit corporation existing under the laws of the State of North Carolina, USA and having its principal place of business at 3040 Cornwallis Road, Research Triangle Park 27709-2194, under Contract/COA No. XXXXXXXXXXXXXXXX between USAID and RTI to support implementation of the **XXXXXX** (Project Title) (hereinafter called "Project").

Whereas:

The United States Agency for International Development (USAID) had awarded Contract/COA (No. XXXXXXXXXXXX) to RTI to implement the Project.

- A. This Grant will implement specific activities that will contribute to achievement of the Project Objectives as stated in Article 1.
- B. This Grant shall not (i) create the relationship of principal and agent, employer and employee, joint venture, or business partnership between RTI and the Grantee; and (ii) establish privity of contract between USAID and the Grantee.
- C. Authority of Agent: Designated agents on behalf of the Grantee and RTI are the sole authority authorized to make amendments and any other substantive changes to the Grant Agreement Terms.

Now, therefore, in consideration of the promises and of the mutual covenants and agreements contained herein, and intending to be legally bound, RTI and the Grantee hereby agree to the following terms and conditions of this Grant.

Article 1. PROJECT OBJECTIVES

XXXXXXXXXX

Article 2. PROGRAM DESCRIPTION

The Grantee will implement the activities described in the Program Description in **Attachment A** of this Grant Agreement.

Article 3. PERIOD OF GRANT

The effective date of this Grant is **XXXX**, hereafter the "Grant Activity Start Date". The estimated completion date of this Grant is **XXXX**, hereafter the "Grant Activity Completion Date".

All activities financed with Grant funds will not commence prior to the Grant Activity Start Date, and will be completed and will cease no later than the Grant Activity Completion Date; unless RTI provides approval of a time extension in writing prior to the specified Grant Activity Completion Date. No Grant award will provide for retroactive funding.

Article 4. CEILING AMOUNT OF AWARD

This is a Cost Reimbursement Grant. The total amount of this Grant for the period indicated in Article 3 is **XXX**. At no time may the total expenditures to be charged to the Grant Agreement exceed the approved budget.

Article 5. OBLIGATED FUNDING

The amount currently obligated for this Grant is equal to the **XXXX**.

The approved detailed and total Grant Budget and Budget Notes can be found **XXXX**. RTI is not obligated to reimburse the Grantee for the expenditure of amounts in excess of the total obligated amount.

Article 6. GRANT BUDGET

The approved detailed and total Grant Budget and Budget Notes can be found in **Attachment B**. Formal revisions to the budget may be required on an ad-hoc basis in the event that there is a significant change in cost for a particular budget category. A significant change means expected overspending in an amount of 10% or greater of that major budget category's current annual budget total. The Grantee is allowed to over or under –spend up to 10% of each major budget category total (Grant Budget Categories identified in **Attachment B**) without requesting a revision of the Grant Budget from RTI. However, if this change will impact the program activities, the Grantee should receive prior approval from RTI. Over-expenditure in one category must be offset by under-expenditure in another category. At no time may the total expenditures to be charged to the Grant Agreement exceed the approved budget.

Revisions (modifications) of the Grant Budget shall only be allowed if the request from the Grantee is submitted in writing and is approved in writing by RTI. The procedure for revision must meet the following requirements:

- a- The request for the revision must be submitted prior to incurring costs which will exceed the 10% limit in major budget category;
- b- The Grantee must complete and submit a form titled “Reallocation / Modification of Budget” (to be provided by RTI if requested) with the request.

Article 7. PROGRAM REPORTING

- The Grantee shall submit Program Reports on a quarterly basis to the Technical Monitor. Quarter 1 ends xxxxx.

The reports are due by the 15th of the month following the period being reported.

The Grantee will be responsive to requests for programmatic information and results by the Technical Monitor. Should the information be in any way sensitive or incomplete, the Grantee should mark the documents as “DRAFT” to assure that the information is not used inappropriately.

Article 8. MONITORING AND EVALUATION

The Grantee shall provide Monitoring and Evaluation data on a quarterly basis in conjunction with the Program Reports identified above in Article 7.

Article 9. FINANCIAL REPORTING

A Monthly Financial Report is due by the Grantee by the 15th of the month following the reporting month.

The Grantee shall include with the Monthly Financial Report the following:

1. Photocopies of receipts and payment vouchers for all expenditures.
2. Approved Bank reconciliation and copy of Bank statements
3. Copy of the bank statement.

The legally responsible official will include the following statement in each invoice and certify that the Grantee has implemented the content and intent of the statement to the extent practicable:

"I hereby certify that to the best of my knowledge and belief all costs presented are correct, accurate and complete, and that all amounts are for the appropriate purposes and in accordance with the Grant."

Additional guidance about invoicing format will be provided to the Grantee by the project team.

- Grantee will submit quarterly *accrual* report for Grant expenditures by 10th day of the last month of each quarter.

Article 10. ADVANCES OF FUNDS

RTI may provide advances to cover immediate Grant expenses for up to 30 days. If program and financial reporting is completed according to the terms of this Grant, and there are no outstanding program, financial, or compliance issues, after receipt of the initial advance, and for each upcoming month (30 day period), the Grantee may submit to the project a "*Request for Advance*." (to be provided). The Advance Request Form is due to the RTI Grants Manager by the 15th of the month. Monthly advances may be adjusted (increased or decreased) by RTI based on the cash on hand report. At the end of each quarter from the date of the initial advance, and for every quarter thereafter, the Grantee should submit a "*Liquidation of Advances*" report to liquidate the advances of the previous quarter.

Article 11. ASSIGNMENT

The Grantee may not assign its rights and obligations under this Grant or engage sub-Grantees or contractors without prior written approval from RTI.

Article 12. REPORTING OF FOREIGN TAXES

The Grantee will follow the procedures in the standard provision "Reporting of Foreign Taxes (March 2006) for reporting taxation of funds under this Grant.

The Grantee should report if any foreign taxes have been paid with USAID funds for commodity transactions over the amount of \$500. Grantee should include in the financial reports all foreign taxes paid and/or recovered. The Grantee should submit to RTI an annual report on the Foreign Taxes paid, by March 15th of the next year, or at the end of the Grant, whichever is earlier.

Article 13. MARKING

The Technical Monitor will approve all communication materials and publications produced prior to printing, reproducing, disseminating or airing.

The Grantee shall comply with the requirement in 2 CFR 700.16 that all programs, projects, activities, public communications, and commodities partially or fully funded by USAID under this Grant and as defined in 2 CFR 700.16 must be marked appropriately with the USAID Identity of a size and prominence equivalent to or greater than the Grantee's, other donor's or any other third parties identity or logo. To comply with this regulation, the Grantee shall follow the Marking Plan as prescribed by RTI.

Article 14. PROCUREMENT AND AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of services and goods under this Grant XXXXXXXX. Non-compliance with this provision will result in disallowance of costs.

- ✚ **Goods:** Any procurement of equipment with a unit value of more than \$1000 must be pre-approved by RTI.

Article 15. TITLE TO PROPERTY

Title to all property purchased under this Grant shall be vested in RTI and subject to the conditions in 2 CFR 200.310-316. Property in this Grant is defined as nonexpendable equipment having a value of greater than

\$1,000 and useful life of at least 1 year. 60 days before the end of the Grant period, the Grantee shall request disposition instructions from the Project for all items of equipment purchased with Grant funds, if any

Article 16. SEGREGATION OF FUNDS

The Grantee shall properly segregate Grant funds in a manner acceptable to RTI. RTI reserves the right to require the Grantee to establish a separate bank account for Grant funds from which all Grant activities would be paid.

Article 17. RECORDKEEPING, RIGHT OF INSPECTION AND AUDIT

Financial record keeping: The Grantee hereby agrees to record, classify and report all RTI-financed costs in separate and segregated Grant-specific financial accounts.

Right of inspection: RTI reserves the right to review all financial and program-related documentation, transactions, receipts, and any other documents related to proper compliance and oversight up to a period of 3 years after the close-out of this Grant.

ARTICLE 18. EXTERNAL AUDIT

RTI may require an external audit of project funds at any time during the period of this Grant. If audit costs are not included in the approved Budget, RTI will amend this Grant to realign the Budget to cover the costs of the audit. The audit firm selected must be pre-approved by RTI. The scope of work for the audit shall be pre-approved by RTI and shall include a requirement that the auditors test all material expenditures charged to the RTI Grant for reasonableness, allocability, and allowability.

The audit report shall include either a separate statement or an integral comment from the auditors regarding their conclusions regarding the reasonableness, allocability, and allowability of these material costs. The audit report shall include the auditors' recommendations regarding the organization's compliance with local laws and terms and conditions of this Grant and any recommendations regarding improving internal controls. 2 copies of the audit report with auditor's recommendations are due to the RTI Grants Officer not later than 15 days after the final audit report.

The Grantee will commit to eliminate all the deficiencies stated in the Final Audit Report within 60 days. The Grantee shall refund RTI for any unallowable costs stated in the Final Audit Report within 30 days.

Article 19. TERMINATION AND SUSPENSION

This Grant may be terminated by RTI at a date earlier than the Grant Activity Completion Date under the following conditions:

- 1) Significant change in the scope of work: If the requirements of the donor or the program change such that the work to be completed varies significantly from the proposed activities.
- 2) Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the Grant Activity Completion Date.
- 3) As a requirement of the donor: In the event the donor requests early termination of the Grant.
- 4) Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities.
- 5) (For Grants-under-Contracts) USAID has a right to terminate the Grant under extraordinary circumstances.

The Grantee will be notified in writing of proposed termination or suspension and outline close out procedures of the Grant.

Article 20. LIABILITY

RTI does not assume liability for any third party claims for damages arising out of this Grant.

Article 21. DISPUTES

Any dispute under or relating to this Grant shall be decided by the RTI Grant Officer.

Article 22. MANDATORY STANDARD PROVISIONS

Not Applicable to Simplified Grants

Article 23. PROTECTION OF HUMAN SUBJECTS

Not Applicable to Simplified Grants

Article 24. ORDER OF PRECEDENCE

Any conflict between any of the provisions and attachments to this Grant shall be resolved by applying the following order of precedence:

1. Articles of this Grant and all Attachments
2. Applicable USAID regulations 2 CFR 200 & 228

IN WITNESS OF THEIR AGREEMENT and their acceptance of its terms and conditions, RTI and the Grantee hereby execute this Grant.

RTI International	
Signature:	
Name:	
Title: Sr. Grants Manager, Office of International Grants and Procurement	
Date:	



Attachment A11 Standard Cost Reimbursement Grant Template

GRANT AGREEMENT

Between

Research Triangle Institute (RTI)

And

[Grantee Name]

Grant Summary:

1. Grant Number	
2. Type of Grant	Standard Cost Reimbursement Grant
3. Grant Activity Title	
4. Grant Administrator	US Address: Research Triangle Institute (RTI) 36040 Cornwallis Road - P. O. Box 12194 Research Triangle Park, NC 27709-2194 – USA COUNTRY Address:
5. RTI Grants Officer	Tammy P. Forrester
6. Grantee	
7. Grantee's Point-of-Contact	[Insert Official mailing address] [Insert Email address and phone number]
8. Prime Award No	
9. Project Title	
10. RTI Project No	
11. Period of Grant	Start Date: End Date:
12. Grant Ceiling	
13. RTI Technical Monitor	
14. RTI Grant Manager	
15. Incorporated Documents	Attachments A-C

ATTACHMENTS:	
Attachment A: Program Description	
Attachment B: Project Budget and Narrative	
Attachment C: Standard Provision for Non-US NGOs	

This Grant is awarded to **XXXX** (hereinafter called "Recipient" or "Grantee"), having its principal place of business at **XXXXX** and administered by **Research Triangle Institute** (hereinafter called "RTI"), a not-for-profit corporation existing under the laws of the State of North Carolina, USA and having its principal place of business at 3040 Cornwallis Road, Research Triangle Park 27709-2194, under Contract/COA No. XXXXXXXXXXXXXXX between USAID and RTI to support implementation of the XXXXXX (Project Title) (hereinafter called "Project").

Whereas:

- A. The United States Agency for International Development (USAID) had awarded Contract/COA (No. XXXXXXXXXXX to RTI to implement the Project.
- B. This Grant will implement specific activities that will contribute to achievement of the Project Objectives as stated in Article 1.
- C. This Grant shall not (i) create the relationship of principal and agent, employer and employee, joint venture, or business partnership between RTI and the Grantee; and (ii) establish privity of contract between USAID and the Grantee; therefore, the Grantee must direct all communications relating to the management of the grant to RTI only.
- D. This Grant supersedes and cancels any previous understandings or agreements, verbal or written, between RTI and the Grantee for this activity.
- E. Authority of Agent: Designated agents on behalf of the Grantee and RTI are the sole authority authorized to make amendments and any other substantive changes to the Grant Agreement Terms.
- F. Key Personnel: Key personnel shall be defined as the following positions and individuals approved by RTI:

Name:
Title:

Name:
Title:

Any changes in the staff for these positions must be approved in writing by RTI prior to the changes.

Now, therefore, in consideration of the promises and of the mutual covenants and agreements contained herein, and intending to be legally bound, RTI and the Grantee hereby agree to the following terms and conditions of this Grant.

Article 1. PROJECT OBJECTIVES

XXXXXXXXXX

Article 2. PROGRAM DESCRIPTION

The Grantee will implement the activities described in the Program Description in **Attachment A** of this Grant Agreement.

Article 3. PERIOD OF GRANT

The effective date of this Grant is [REDACTED] **XXXX**, hereafter the “Grant Activity Start Date”. The estimated completion date of this Grant is **XXXX**, hereafter the “Grant Activity Completion Date”.

No activities financed with Grant funds will commence prior to the Grant Activity Start Date, and all such activities will be completed and will cease not later than the Grant Activity Completion Date; unless RTI provides approval of a time extension in writing prior to the specified Grant Activity Completion Date.

Article 4. CEILING AMOUNT OF AWARD

This is a Cost Reimbursement Grant. The total amount of this Grant for the period indicated in Article 3 is **XXX**. At no time may the total expenditures to be charged to the Grant Agreement exceed the approved budget.

Article 5. OBLIGATED FUNDING

The amount currently obligated for this Grant is equal to the Total Grant Amount **XXXX**. RTI is not obligated to reimburse the Grantee for the expenditure of amounts in excess of the total obligated amount. Future funding commitments under this grant will be subject to the availability of client funding and Grantee’s compliance with the terms of this agreement.

Article 6. GRANT BUDGET

The approved detailed and total Grant Budget and Budget Notes can be found in **Attachment B**. Formal revisions to the budget may be required on an ad-hoc basis in the event that there is a significant change in cost for a particular budget category. A significant change means expected overspending in an amount of 10% or greater of that major budget category’s current annual budget total. The Grantee is allowed to over or under –spend a budget category up to 10% of the total Grant amount (Grant Budget Categories identified in **Attachment B**) without requesting a revision of the Grant Budget from RTI. However, if this change will impact the program activities, the Grantee should receive prior approval from RTI. Over-expenditure in one category must be offset by under-expenditure in another category. At no time may the total expenditures to be charged to the Grant Agreement exceed the approved budget.

Revisions (modifications) of the Grant Budget shall only be allowed if the request from the Grantee is submitted to RTI in writing and approved in writing by RTI.

Article 7. PROGRAM REPORTING

The Grantee shall submit Program Reports on a quarterly basis to the Technical Monitor. Quarter 1 ends xxx.

The Reports are due by the 15th of the month following the period being reported.

The Grantee will be responsive to requests for programmatic information and results by the Technical Monitor or Chief of Party. Should the information be in any way sensitive or incomplete, the Grantee should mark the documents as “DRAFT” to assure that the information is not used inappropriately.

Article 8. MONITORING AND EVALUATION

The Grantee shall provide Monitoring and Evaluation data on a quarterly basis in conjunction with the Program Reports identified above in Article 7.

Article 9. FINANCIAL REPORTING AND INVOICING

A Quarterly Financial Report is due from the Grantee by the 15th of the month following the reporting month.

The Grantee may submit invoices on a monthly basis for reasonable, allowable, allocable, and necessary costs incurred in the performance of this Grant. Invoices shall be submitted on company letterhead in original and one copy, certified, and signed by a legally responsible official of the Grantee and provided to RTI's Grant Manager at the following address:

RTI International

Attention: xxxxx

(1) RTI will only accept invoices properly submitted for payment. Properly submitted invoices must contain the following information:

- Grant number
- Invoice number
- Invoice date and billing period
- Net amount due (broken down by line item in conformance with the approved budget in Article VI and showing current and cumulative/year-to-date amounts)
Note: Advances must be deducted from the gross total of costs for the billing period.
- Full name, telephone, and fax numbers of Grantee representative to handle questions on the invoice. RTI shall promptly notify the Grantee of any changes Grantee must make in order to ensure acceptance of the invoice for payment.

(2) The legally responsible official will include the following statement in each invoice and certify that the Grantee has implemented the content and intent of the statement to the extent practicable:

"I hereby certify that, to the best of my knowledge and belief, all costs presented are correct, accurate and complete, that payment therefore has not been received and that all amounts requested are for the appropriate purposes and in accordance with the Grant."

(3) A properly submitted invoice will be paid within 30 days from the date of receipt.

(4) Grantee's final invoice will include a statement releasing RTI from any further financial obligations to the Grantee.

Additional guidance about invoicing format and supporting documentation will be provided to the Grantee by RTI's Grant Manager.

Article 10. ADVANCES OF FUNDS

RTI may provide advances to cover immediate anticipated Grant expenses for up to 30 days. If program and financial reporting is completed according to the terms of this Grant, and there are no outstanding program,
Page 4 of 9

financial, or compliance issues after receipt of the initial advance, and for each upcoming month (30 day period), the Grantee may submit to the project a "*Request for Advance*." (to be provided). The Advance Request Form is due to the RTI Grants Manager by the 15th of the month. Monthly advances may be adjusted (increased or decreased) by RTI based on the cash on hand report. At the end of the reporting period, the Grantee should submit a "*Liquidation of Advances*" report to liquidate the advances of the previous reporting period before receiving any further advances.

Article 11. ASSIGNMENT

The Grantee may not assign its rights and obligations under this Grant or engage sub-Grantees or contractors without prior written approval from RTI.

Article 12. REPORTING OF FOREIGN TAXES

The Grantee will follow the procedures in the standard provision "Reporting of Foreign Taxes" (March 2006) for reporting taxation of funds under this Grant.

The Grantee should report if any foreign taxes have been paid with USAID funds for commodity transactions over the amount of \$500. Grantee should not pay or should try to recover all foreign taxes paid with USAID funds. The Grantee should include in the financial reports all foreign taxes paid and/or recovered. The Grantee should submit to RTI an annual report on the Foreign Taxes paid, by March 15th of the next year, or at the end of the Grant, whichever is earlier.


Article 13. MARKING

The Technical Monitor will approve all communication materials and publications produced under the Grant prior to printing, reproducing, disseminating or airing.

The Grantee shall comply with the requirement in 2 CFR 700.16 that all programs, projects, activities, public communications, and commodities partially or fully funded by USAID under this Grant and as defined in 2 CFR 700.16 must be marked appropriately with the USAID Identity of a size and prominence equivalent to or greater than the Grantee's, other donor's or any other third parties identity or logo. To comply with this regulation, the Grantee shall follow the Marking Plan as prescribed by RTI.

Article 14. PROCUREMENT AND AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of services and goods under this Grant is XXXXX. Non-compliance with this provision will result in disallowance of costs.

 **Goods:** Any procurement of equipment with a unit value of more than \$1000 must be pre-approved by RTI.

Article 15. TITLE TO PROPERTY

Title to all property purchased under this Grant shall be vested in RTI and subject to the conditions in 2 CFR 200.310-316. Property in this Grant is defined as non-expendable equipment having a value of greater than \$1,000 and a useful life of at least 1 year. 60 days before the end of the Grant period, the Grantee shall request disposition instructions from the Project for all items of equipment purchased with Grant funds, if any.

Article 16. SEGREGATION OF FUNDS

The Grantee shall properly segregate Grant funds in a manner acceptable to RTI. RTI reserves the right to require the Grantee to establish a separate bank account for Grant funds from which all Grant activities would be paid.

Article 17. RECORDKEEPING, RIGHT OF INSPECTION AND AUDIT

Financial record keeping: The Grantee hereby agrees to record, classify and report all RTI-financed costs in

separate and segregated Grant-specific financial accounts.

Right of inspection: RTI reserves the right to review all financial and program-related documentation, transactions, receipts, and any other documents related to proper compliance and oversight up to a period of 3 years after the close-out of this Grant.

ARTICLE 18. EXTERNAL AUDIT

RTI may require an external audit of project funds at any time during the period of this Grant. If audit costs are not included in the approved Budget, RTI will amend this Grant to realign the Budget to cover the costs of the audit. The audit firm selected must be pre-approved by RTI. The scope of work for the audit shall be pre-approved by RTI and shall include a requirement that the auditors' test all material expenditures charged to the RTI Grant for reasonableness, allocability, and allowability.

The audit report shall include either a separate statement or an integral comment from the auditors regarding their conclusions regarding the reasonableness, allocability, and allowability of these material costs. The audit report shall include the auditors' recommendations regarding the organization's compliance with local laws and terms and conditions of this Grant and any recommendations regarding improving internal controls. 2 copies of the audit report with auditor's recommendations are due to the RTI Grants Officer not later than 15 days after the final audit report.

Also see additional terms related to this Article incorporated by reference from the Standard Provisions contained in Attachment C.

The Grantee will commit to eliminate all the deficiencies stated in the Final Audit Report within 60 days. The Grantee shall refund RTI for any unallowable costs stated in the Final Audit Report within 30 days.

Article 19. TERMINATION AND SUSPENSION

This Grant may be terminated by RTI at a date earlier than the Grant Activity Completion Date under the following conditions:

- 1) Significant change in the scope of work: If the requirements of the donor or the program change such that the work to be completed varies significantly from the proposed activities.
- 2) Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the Grant Activity Completion Date.
- 3) As a requirement of the donor: In the event the donor requests early termination of the Grant.
- 4) Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities.
- 5) (For Grants-under-Contracts) USAID has a right to terminate the Grant under extraordinary circumstances.

The Grantee will be notified in writing of proposed termination or suspension and outline close out procedures of the Grant.

Article 20. LIABILITY

RTI does not assume liability for any third party claims for damages arising out of this Grant.

Article 21. DISPUTES

Any dispute under or relating to this Grant shall be decided by the RTI Grant Officer.

Article 22. STANDARD PROVISIONS

The Standard Grant Provisions contained in *Attachment C* are hereby incorporated by reference.

The Grantee should comply with the Standard Provisions as applicable.

Article 23. COST SHARE (IF APPLICABLE)

The Grantee agrees to contribute an amount not less than 10% [or insert dollar/currency amount] of the total award in cost share. All contributions, including cash and third party in-kind contributions, must meet the following criteria:

- (1) They are verifiable from the awardee's records. A copy of these records will be submitted with the financial reporting or available for review by RTI.
- (2) They are not included as contributions for any other federally-assisted project or program.
- (3) They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- (4) They are allowable under Federal Cost Principles.
- (5) They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.
- (6) They are provided for in the approved budget.
- (7) They conform to other provisions included in 2 CFR 200.
- (8) Cost Share contributions are subject to any applicable audit or access to records provision referenced in this grant agreement.

The Grantee will budget and document all cost share contributions. Cost share reporting should be submitted with the financial reports.

Article 24. PROTECTION OF HUMAN SUBJECTS (IF APPLICABLE)

In the case any Grant activities are deemed to be "research" by RTI's Committee for Protection Human Subjects, the Grantee would be required to prepare materials for RTI's review procedures and adhere to RTI's guidance in finalizing and conducting project studies/ research. The Grantee will also adhere to local human subjects protection regulations in (COUNTRY). The RTI Grant Manager will provide additional guidance on the subject to the Grantee.

Article 25. ENVIRONMENTAL COMPLIANCE AND MITIGATION (IF APPLICABLE)

The Grantee should be aware that for any activities proposed under this activity, an environmental review will be needed to screen each activity for its potential environmental impact and to help develop mitigation and monitoring measures. The grantee shall collaborate with RTI and USAID's Environmental Officer for any activity that might have an environmental impact. The USAID environmental Officer will recommend additional environmental review for activities that may have an impact on the environment.

During the implementation of the activity, the Grantee must assure that all activities are undertaken in accordance with the U.S. Government's Code of Federal Regulations (22 CFR 216) regarding environmental soundness. Where indicated, the Grantee will undertake recognized methodologies for Initial Environmental Examinations (IEEs) for specific activities prior to implementation. The Grantee must ensure that USAID agreement with the recommendations of the IEE are recorded and must also assure that the recommendations of the IEE are fully incorporated in activity implementation.

Article 26. ORDER OF PRECEDENCE

Any conflict between any of the provisions and attachments to this Grant shall be resolved by applying the following order of precedence:

1. Articles of this Grant and all Attachments
2. Applicable USAID regulations 2 CFR 200 & 228

If the agreement has been issued and executed in more than one language, any conflicts between language translations, the English version prevails.

IN WITNESS OF THEIR AGREEMENT and their acceptance of its terms and conditions, RTI and the Grantee hereby execute this Grant.

RTI International	[Insert Grantee Name/Information]
Signature:	
Name:	
Title: Sr. Grants Manager, Office of International Grants and Procurement	
Date:	



Attachment A12 In Kind Grant Agreement Template

GRANT AGREEMENT

Between

Research Triangle Institute (RTI)

And

[Grantee Name]

Grant Summary:

1. Grant Number	
2. Type of Grant	In-Kind Grant to a non-US Governmental Institution
3. Grant Activity Title	
4. Grant Administrator	US Address: Research Triangle Institute (RTI) 36040 Cornwallis Road - P. O. Box 12194 Research Triangle Park, NC 27709-2194 – USA COUNTRY Address: Local Governance Program 39, Rue Abou Derr, Haut Agdal - 10080 Rabat, MAROC
5. RTI Grants Officer	Tammy P. Forrester
6. Grantee	
7. Grantee's Point-of-Contact	[Insert Official mailing address] [Insert Email address and phone number]
8. USAID Contract No	PGL: EPP-I-08-04-00037
9. Project Title	
10. RTI Project No	
11. Period of Grant	Start Date: End Date:
12. Grant Ceiling	
13. RTI Technical Monitor	
14. RTI Grant Manager	
15. Incorporated Documents	Attachments A-B

ATTACHMENTS:	
Attachment A: Project Description	
Attachment B: Project Budget	

This Grant is awarded to xxx (hereinafter called "Recipient" or "Grantee") and taking administered by **Research Triangle Institute** (hereinafter called "RTI"), a not-for-profit corporation existing under the laws of the State of North Carolina, USA and having its principal place of business at 3040 Cornwallis Road, Research Triangle Park 27709-2194, under above mentioned award between USAID and RTI to support implementation of the xx (hereinafter called "Project").

Whereas:

- A. This Grant will implement specific activities that will contribute to achievement of the overall Project Objectives.
- B. This Grant shall not (i) create the relationship of principal and agent, employer and employee, joint venture, or business partnership between RTI and the Grantee; and (ii) establish privity of contract between USAID and the Grantee.
- C. Authority of Agent: Designated agents on behalf of the Grantee and RTI are the sole authority authorized to make amendments and any other substantive changes to the Grant Agreement Terms.

Now, therefore, in consideration of the promises and of the mutual covenants and Agreements contained herein, and intending to be legally bound, RTI and the Grantee hereby agree to the following terms and conditions of this Grant.

Article 1. PROGRAM DESCRIPTION

The purpose of this Grant is to provide support for the activities described in the Program Description in **Attachment A** of this Grant Agreement.

Article 2. PERIOD OF GRANT

The period of performance for the grant activities is x to x

All activities financed with Grant funds will not commence prior to the Grant Activity Start date, and will be completed and will cease no later than the Grant Activity Completion Date; unless RTI provides approval of a time extension in writing prior to the specified Grant Activity Completion Date. No Grant award will provide for retroactive funding.

Article 3. CEILING AMOUNT OF AWARD AND BUDGET

RTI hereby awards the amount of x for the purposes of this Grant. See complete Budget in **Attachment B**.

No cash payments will be made directly to the Grantee. RTI will provide support to the Grantee by procuring the items identified in the budget and providing the goods to the Grantee

Article 4. MONITORING AND EVALUATION

The Grantee shall submit technical and financial reports after the achievement of every benchmark (pre-established in the budget **Attachment B**).

The Grantee will be responsive to requests for programmatic information and results by the Grants Manager. RTI will conduct monitoring of the program activities, including site visits as appropriate.

Article 5. TITLE TO PROPERTY

Title to all property purchased under this Grant shall be vested in RTI and subject to the conditions in 2 CFR 200.310-316. Property in this Grant is defined as non-expendable equipment having a value of greater than 1,000 USD and useful life of at least 1 year.

The recipient agrees to use and maintain the goods for the goal for which they were allotted according to the procedures established in this provision.

The Recipient must maintain a complete list of all the equipment provided with their location and their condition.

60 days before the end of the Grant period, the Grantee must present a detailed proposal requesting the transfer the ownership of equipment purchased with grant funds from RTI to the Grantee, if any.

In the 90 calendar days after the end of attribution, the recipient will provide the Grants Manager a list of all purchased good with market value of x or more. If the recipient uses the good for objectives other than those ascribed, sells or rents the good, USAID must be refunded its share of the good unless the grants manager authorizes that USAID's share of the income from the sale or hiring of the good be used as income for the program. This share is based on the percentage of USAID's contribution to the program. If USAID paid 100% of the program's costs, USAID will receive 100% of the selling price minus a nominal selling commission of 250 USD or 10%, the lowest value being applied.

Article 6: COST SHARE REPORTING & CONTRIBUTIONS

Cost sharing is an important element of the USAID/RTI recipient relationship. It is expected that the grantee will make some contribution to the activity for which they are seeking grant funding. This can be either in-kind (such as labor and materials) or cash. The purpose of the matching requirement is to leverage additional resources towards achieving the program's objectives and to give the grantee a stake in the outcome of the activity. The Grantee will budget and document all cost share contributions, ideally at a minimum of a 10%. Cost share reporting will be provided at the same time as the milestone and technical reporting.

Article 7. ASSIGNMENT

The Grantee may not assign its rights and obligations under this Grant or engage sub-grantees or contractors without prior written approval from RTI.

Article 8. MARKING

The Grantee shall follow the procedures outlined in the Standard Provision "Marking Under USAID" for marking procedures under this Grant in Attachment C.

Article 9. RECORDKEEPING, RIGHT OF INSPECTION AND AUDIT

Right of inspection: RTI reserves the right to review all program related documentation, and any documents related to proper compliance during the implementation of the Grant and up to a period of 3 years after the end-date of this Grant. Therefore, the Grantee agrees to maintain records funded by this Grant for the period above.

The Grantee will commit to eliminate all the deficiencies or refund RTI for any unallowable costs found in resulting Inspection Report within 60 days.

Article 10. TERMINATION AND SUSPENSION

This Grant may be terminated by RTI at a date earlier than the proposed end-date under the following conditions:

- 1) Significant change in the scope of work: If the requirements of the donor or the program change such that the work to be completed varies significantly from the proposed activities.
- 2) Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the proposed end-date.

- 3) As a requirement of the donor: In the event the donor requests early termination of the Grant.
- 4) Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities.

The Grantee will be notified in writing of proposed termination or suspension and outline close out procedures of the Grant.

Article 11. LIABILITY

RTI does not assume liability for any third party claims for damages arising out of this Grant.

Article 12. DISPUTES

Any dispute under or relating to this Grant shall be decided by the RTI Grant Officer.

IN WITNESS OF THEIR AGREEMENT and their acceptance of its terms and conditions, RTI and the Grantee hereby execute this Grant.

RTI International	[Grantee Name]
Signature:	Signature:
Name:	Name:
Title: Sr. Grants Manager, Office of International Grants and Procurement	Title:
Date:	Date:

Attachment A13
Grant Package Checklist

Grant File Checklist

Grantee Name: _____

Grant Type: _____

Period of Performance: _____

Amount (Ceiling): _____

Grant Award Document	Yes	No	Comments/Review
Grant Agreement Template			
Certifications			
Flow Down Provisions from Prime Award			For Standard Grants: Use USAID Standard Provisions for Non US Orgs; For FAAS: Use USAID Standard Provisions for FAAs
Grant Application			
Signed by Grantee			
M&E Plan			Does the M&E plan include indicators that would permit measurement of progress towards targeted results?
Implementation Plan			Does the Implementation Plan show how the results will be achieved?
Program Description (Attachment A)			Does the Program Description provide clear deliverables and activities to achieve the deliverables or milestones?
DUNS#			for Grants above \$25k
Budget (Attachment B)			
Line item breakdown			
Budget Narrative			
International airfare			If included, insert proper flow down provision
Equipment			If included, insert proper flow down provision
Indirect costs			Is the indirect costs supported by NICRA? If not, need to develop a direct charge methodology.
Supporting Documents			
Memorandum of Negotiation			Signed by both COP and Grants Manager
Source Selection or Exemption from Competition (if required)			Documented in MON
Management System Questionnaire			Does the responses provide adequate information to make a responsibility determination? Or will additional desk review be required?
Site Visit Pre Award			Required for Grants above \$250k, recommended for high risk organizations
Risk Assessment Rating			Moderate or High Risk = monitoring and oversight plan embedded into the MON
Written client Approval			
Past Performance References			
Bridger Insight Verification Report (Entity and Individual)			

Attachment A14

Grant Modification Template



RTI International
 PO Box 12194, 3040 Cornwallis Road
 Research Triangle Park, NC 27709-2194

Grant Number: 0212345-G-2013-001
Modification Number #X

RTI Project Name:	[Insert Project Name]		
RTI Project Number:	0212345	COA/Contract Number:	620-A-00-00-000-xxxx

Grantee Name and Address	Grant Information
[Insert Grantee Name and Address, Contact information or email]	Grant Ceiling <input style="width: 100%;" type="text"/>
	Grant Obligation <input style="width: 100%;" type="text"/>
	Period of Grant <input style="width: 100%;" type="text"/>
	Effective Date of Modification <input style="width: 100%;" type="text" value="[date the modification is effective]"/>

Description of Modification:

The purpose of the modification is to: [Insert summary of changes to the grant outlined in the modification below]

Article 3. Period of Grant

Period of Performance is deleted in its entirety and replaced with; the revised period of performance of this award from 5th August 2011 through 31st May, 2012.

Article 4: Ceiling Amount of Award

The revised amount of the award is NGN2, 264,904.

Article 5: Obligated Funding

The amount currently obligated for this grant is equal to NGN2,264,904

Article 6: Grant Budget

The revised detailed and total Grant Budget can be found in Attachment B.

End of modification #X

EXCEPT AS SPECIFICALLY HEREIN AMENDED, ALL TERMS AND CONDITIONS OF THE GRANT REMAIN UNCHANGED AND IN FULL EFFECT.

<u>Grantee Point of Contact:</u>	<u>RTI Point of Contact:</u>
Phone:	Phone: 919-990-8465
Signature:	Signature:
Name: Mr. Karu Simon E	Name : Tammy P. Forrester
Title: General Secretary	Title : Senior Grants Manager
Date:	Date:

**Attachment A15
Advance Request Form**

SubGrant Invoice and Advance Request Application			
RECIPIENT INFORMATION			
1	Recipient Name:		
2	Recipient Award Number:		Award Amount:
3	Month Covered (Month & Year):		Project #
Financial Information			
4	Total Previous Advanced Funds:		
Incurred Expenses			
5	Personnel		
6	Travel & Transportation		
7	Equipment		
8	Supplies		
9	Other Direct Costs		
10	Total Incurred Expenses (Add Lines 5 through Line 9)	\$	-
11	Indirect Cost		
12	Total Incurred Expenses (Add Lines 10 and 11)	\$	-
13	Remaining Balance of Advanced Funds:	\$	-
PROJECTED EXPENSES			
14	Projected Expenses for Month Covered (Month & Year):		
15	Personnel		
16	Travel & Transportation		
17	Equipment		
18	Supplies		
19	Other Direct Costs		
20	Total Projected Expenses (Add Lines 15 through Line 19)	\$	-
21	Indirect Cost		
22	Total Projected Expenses (Add Lines 19 and 20)	\$	-
23	Cash Requirement (Line 13 minus Line 22)	\$	-
RECIPIENT AUTHORIZED SIGNATURE			
24	Authorized Signature:		
25	Full Name & Title:		
26	Date Submitted:		
27	E-mail Address:		
RTI Approval			
28	Authorized Signature:		
29	Full Name & Title:		

Attachment A16
Electronic Funds/Wire Transfer Form

Electronic Funds / Wire Transfer Authorization Form

Authorization Agreement

I authorize RTI to access the account below in order to electronically deposit funds in accordance with our payment terms and obligations. Further, I certify that the below information is correct. Prior to beginning or revoking this authorization, I agree to provide a ten day written notice to

RTI - Headquarters
Accounts Payable Department
PO BOX 12194
Research Triangle Park, NC 27709
or email to accounting@rti.org

or Field Office : _____
Address: _____
Contact: _____
E-Mail: _____

Recipient Organization Information

Recipient Organization _____
Address: _____
City: _____ State/Province: _____ Postal Code: _____
Country: _____
Phone: _____ Fax: _____

Account Information

Name _____ of _____ Financial Institution: _____
Address: _____
City: _____ State/Province: _____
Postal Code: _____ Phone Number: _____ Country: _____
ABA Routing Number: _____ Account Number: _____
Swift Code _____ (international recipients required to provide): _____
Account Currency: _____

Wire Transfer Notes: _____

Signature

Authorized Recipient (Signature): _____ Date: _____

Authorized Recipient (Print Name): _____ Title: _____

REQUIRED: For US Based recipients please attach a copy of your cancelled check to this EFT form. An EFT will not be setup unless a copy of your cancelled check is submitted.

FOR RTI USE ONLY

Vendor#:

Payment Terms:

Prenote Date:

Effective Date:



Initials:

Attachment A17
Financial Report Template

SubGrant Invoice and Advance Request Application

RECIPIENT INFORMATION			
1	Recipient Name:	ABC Foundation	
2	Recipient Award Number:	0212751-G-2012-XXX	Award Amount: Rp797,310,000
3	Month Covered (Month & Year):		Project # 0212751.XXX
Financial Information			
4	Total Previous Advanced Funds:		
Incurred Expenses			
5	Personnel		
6	Fringe Benefits		
7	Travel & Transportation		
8	Equipment		
9	Supplies		
10	Other Direct Costs		
11	Total Incurred Expenses (Add Lines 5 through Line 10)		-
12	Indirect Cost		
13	Total Incurred Expenses (Add Lines 11 and 12)		-
14	Remaining Balance of Advanced Funds:		-
PROJECTED EXPENSES			
15	Projected Expenses for Month Covered (Month & Year):	Aug-15	
16	Personnel	Rp	10,500,000
17	Fringe Benefits		
18	Travel & Transportation	Rp	300,000
19	Equipment		
20	Supplies	Rp	4,950,000
21	Other Direct Costs	Rp	2,000,000
22	Total Projected Expenses (Add Lines 16 through Line 21)		Rp align="right">17,750,000
23	Indirect Cost		
24	Total Projected Expenses (Add Lines 22 and 23)		Rp align="right">17,750,000
25	Cash Requirement (Line 13 minus Line 22)		Rp align="right">(17,750,000)
RECIPIENT AUTHORIZED SIGNATURE			
24	Authorized Signature:		
25	Full Name & Title:		
26	Date Submitted:	5-Aug-15	
27	E-mail Address:		

RTI AUTHORIZED SIGNATURE			
28	Authorized Signature:	Reviewed by:	Approved by:
29	Full Name & Title:	Grants Manager Finance and Admin Director	Chief of Party

SubGrant Invoice and Advance Request Application

RECIPIENT INFORMATION			
1	Recipient Name:	ABC Foundation	
2	Recipient Award Number:	0212751-G-2012-XXX	Award Amount: Rp797,310,000
3	Month Covered (Month & Year):		Project # 0212751.XXX
Financial Information			
4	Total Previous Advanced Funds:		Rp17,750,000
Incurred Expenses			
5	Personnel		
6	Fringe Benefits		
7	Travel & Transportation		
8	Equipment		
9	Supplies		
10	Other Direct Costs		
11	Total Incurred Expenses (Add Lines 5 through Line 10)		-
12	Indirect Cost		
13	Total Incurred Expenses (Add Lines 11 and 12)		-
14	Remaining Balance of Advanced Funds:		17,750,000
PROJECTED EXPENSES			
15	Projected Expenses for Month Covered (Month & Year):	Sep-15	
16	Personnel	Rp	10,500,000
17	Fringe Benefits		
18	Travel & Transportation	Rp	300,000
19	Equipment		
20	Supplies	Rp	5,700,000
21	Other Direct Costs	Rp	28,395,000
22	Total Projected Expenses (Add Lines 16 through Line 21)		Rp 44,895,000
23	Expense Pending for Review	Rp	17,000,000
24	Total Projected Expenses (Add Lines 22 and 23)		Rp 61,895,000
25	Cash Requirement (Line 13 minus Line 22)		Rp 61,895,000
RECIPIENT AUTHORIZED SIGNATURE			
24	Authorized Signature:		
25	Full Name & Title:		
26	Date Submitted:	3-Sep-15	
27	E-mail Address:		

RTI AUTHORIZED SIGNATURE			
28	Authorized Signature:	Reviewed by:	Approved by:
29	Full Name & Title:	Grants Manager Finance and Admin Director	Chief of Party

SubGrant Invoice and Advance Request Application

RECIPIENT INFORMATION			
1	Recipient Name:	ABC Foundation	
2	Recipient Award Number:	0212751-G-2012-XXX	Award Amount: Rp797,310,000
3	Month Covered (Month & Year):	Aug 2015	Project # 0212751.XXX
Financial Information			
4	Total Previous Advanced Funds:		Rp17,750,000
Incurred Expenses			
5	Personnel		Rp4,500,000
6	Fringe Benefits		Rp0
7	Travel & Transportation		Rp350,000
8	Equipment		Rp3,000,000
9	Supplies		Rp450,000
10	Other Direct Costs		8,567,500
11	Total Incurred Expenses (Add Lines 5 through Line 10)		16,867,500
12	Indirect Cost		
13	Total Incurred Expenses (Add Lines 11 and 12)		16,867,500
14	Remaining Balance of Advanced Funds:		882,500
PROJECTED EXPENSES			
15	Projected Expenses for Month Covered (Month & Year):		
16	Personnel		
17	Fringe Benefits		
18	Travel & Transportation		
19	Equipment		
20	Supplies		
21	Other Direct Costs		
22	Total Projected Expenses (Add Lines 16 through Line 21)	Rp	-
23	Indirect Cost		
24	Total Projected Expenses (Add Lines 22 and 23)	Rp	-
25	Cash Requirement (Line 13 minus Line 22)	Rp	882,500
RECIPIENT AUTHORIZED SIGNATURE			
24	Authorized Signature:		
25	Full Name & Title:		
26	Date Submitted:	10-Sep-15	
27	E-mail Address:		

RTI AUTHORIZED SIGNATURE			
28	Authorized Signature:	Reviewed by:	Approved by:
29	Full Name & Title:	Grants Manager	Finance and Admin Director
			Chief of Party

SubGrant Invoice and Advance Request Application

RECIPIENT INFORMATION			
1	Recipient Name:	ABC Foundation	
2	Recipient Award Number:	0212751-G-2012-XXX	Award Amount: Rp797,310,000
3	Month Covered (Month & Year):	Sep 2015	Project # 0212751.XXX
Financial Information			
4	Total Previous Advanced Funds:		Rp79,645,000
		Current Month Expenses	Cumulative Incurred Expenses
5	Personnel	Rp4,500,000	Rp9,000,000
6	Fringe Benefits	Rp2,500,000	Rp2,500,000
7	Travel & Transportation	Rp375,000	Rp725,000
8	Equipment		Rp3,000,000
9	Supplies	Rp550,250	Rp1,000,250
10	Other Direct Costs	25,325,000	Rp33,892,500
11	Total Incurred Expenses (Add Lines 5 through Line 10)	33,250,250	50,117,750
12	Indirect Cost		
13	Total Incurred Expenses (Add Lines 11 and 12)	33,250,250	50,117,750
14	Remaining Balance of Advanced Funds:		29,527,250
PROJECTED EXPENSES			
15	Projected Expenses for Month Covered (Month & Year):	Oct-15	
16	Personnel	Rp	4,500,000
17	Fringe Benefits	Rp	-
18	Travel & Transportation	Rp	650,000
19	Equipment	Rp	-
20	Supplies	Rp	4,550,000
21	Other Direct Costs	Rp	43,750,000
22	Total Projected Expenses (Add Lines 16 through Line 21)	Rp	53,450,000
23	Indirect Cost		
24	Total Projected Expenses (Add Lines 22 and 23)	Rp	53,450,000
25	Cash Requirement (Line 13 minus Line 22)	Rp	(23,922,750)
RECIPIENT AUTHORIZED SIGNATURE			
24	Authorized Signature:		
25	Full Name & Title:		
26	Date Submitted:	10-Oct-15	
27	E-mail Address:		

RTI AUTHORIZED SIGNATURE			
28	Authorized Signature:	Reviewed by:	Approved by:
29	Full Name & Title:	Grants Manager	Finance and Admin Director
			Chief of Party

SubGrant Invoice and Advance Request Application

RECIPIENT INFORMATION			
1	Recipient Name:	ABC Foundation	
2	Recipient Award Number:	0212751-G-2012-XXX	Award Amount: Rp797,310,000
3	Month Covered (Month & Year):	Oct 2015	Project # 0212751.XXX
Financial Information			
4	Total Previous Advanced Funds:	Rp103,567,750	
		Current Month Expenses	Cumulative Incurred Expenses
5	Personnel	Rp4,500,000	Rp13,500,000
6	Fringe Benefits	Rp0	Rp2,500,000
7	Travel & Transportation	Rp750,000	Rp1,475,000
8	Equipment	Rp0	Rp3,000,000
9	Supplies	Rp625,000	Rp1,625,250
10	Other Direct Costs	42,575,000	Rp76,467,500
11	Total Incurred Expenses (Add Lines 5 through Line 10)	48,450,000	98,567,750
12	Indirect Cost		
13	Total Incurred Expenses (Add Lines 11 and 12)	48,450,000	98,567,750
14	Remaining Balance of Advanced Funds:	5,000,000	
PROJECTED EXPENSES			
15	Projected Expenses for Month Covered (Month & Year):	Nov-2015	
16	Personnel	Rp	20,000,000
17	Fringe Benefits	Rp	5,000,000
18	Travel & Transportation	Rp	2,500,000
19	Equipment	Rp	-
20	Supplies	Rp	700,000
21	Other Direct Costs	Rp	150,000,000
22	Total Projected Expenses (Add Lines 16 through Line 21)	Rp	178,200,000
23	Indirect Cost		
24	Total Projected Expenses (Add Lines 22 and 23)	Rp	178,200,000
25	Cash Requirement (Line 13 minus Line 22)	Rp	(173,200,000)
RECIPIENT AUTHORIZED SIGNATURE			
24	Authorized Signature:		
25	Full Name & Title:		
26	Date Submitted:	10-Nov-15	
27	E-mail Address:		

RTI AUTHORIZED SIGNATURE			
28	Authorized Signature:	Reviewed by:	Approved by:
29	Full Name & Title:	Grants Manager Finance and Admin Director	Chief of Party

Attachment A18
RTI Cost Share Cover Page

RTI COST SHARE COVER PAGE

Prepared by:		Cost Share Ref. No.	
Date Report Prepared:			
Reporting Period of Cost Share:			
	(Month(s)/Year)		
Month Recorded in QuickBooks:			
RTI Project Name:		RTI Project Number:	
Name of Subgrantee/recipient (if applicable):		Country:	
Subaward Number/Purchase Order (if applicable):			

Brief Description of Cost Share *(attach additional sheets if necessary)*:

Source of Funds: *(Cannot be from the same donor, for example USG funds cannot be used as a match in a USG funded program)*

How is the Cost Share Activity Necessary and Reasonable for Accomplishment of Project Objectives? *(Attach additional sheets if necessary.)*

Cost Share Valuation

Description	Date(s) of Activity	Quantity/Units	Value/Rate per Unit	Amount
Contributed Labor/Participant Time/Volunteer Time		0	0.00	0.00
Material/Equipment/Supplies				0.00
Office Space/Workshop Venue				0.00
Communications				0.00
Transportation				0.00
Office Operating Expenses				0.00
Cash				0.00
Intellectual Capital				0.00
Other (Please specify here)				0.00
				0.00
Total reported cost share				0.00

I CONFIRM THE VALUE OF DONATED GOODS AND SERVICES ARE BASED ON FAIR MARKET VALUE. DOCUMENTATION IS ATTACHED FOR REFERENCE.
 In addition, I certify that all cost share contributions have been reported in accordance with relevant client regulations and RTI policies

Printed Name & Title of Subgrantee/Recipient Authorized Signatory: _____

Signature of Subgrantee/Recipient Authorized Signatory: _____ Date: _____

I CONFIRM THE VALUE OF DONATED GOODS AND SERVICES ARE BASED ON FAIR MARKET VALUE & PROPER DOCUMENTATION IS ATTACHED.

Printed Name of Field F&A Staff: _____

Signature of Field F&A Staff: _____ Date: _____

I CONFIRM I HAVE INQUIRED AND DETERMINED THAT, TO THE BEST OF MY KNOWLEDGE, THIS COST SHARE HAS NOT BEEN REPORTED ELSEWHERE.

Printed Name of Senior Country/Project Representative (COP): _____

Signature of Senior Country/Project Representative (COP): _____ Date: _____

Enter a short description of cost share to be used in the QuickBooks memo field:

G/L codes for WebJE or A/P coding

Attachment A19

RTI Cost Share Cover Page Instructions

The following bullets review the steps for completing the fields of the Cost Share Cover Page:

- **Reporting Period of Cost Share:** The preparer should include the month(s) that the cost share was provided to RTI. This could include a specific month, or a series of months if the cost share was provided over a period of time. For example, if office rent was provided each month for a year, staff could wait to report the office rent annually and complete this field with “January–December 2015”.
- **RTI Project Number:** The RTI project charge code should be similar to the charge codes for expenses on the project.
- **Name of Subgrantee/Subrecipient:** The name of the subgrantee/subrecipient is the individual, organization, or entity providing the cost share. Examples might include local organizations that have a grant from RTI or U.S.-based partner working on the project.
- **Subaward Number:** If the cost share contribution comes from a subrecipient, the preparer should include the subagreement or grant number.
- **Brief Description of Cost Share:** The preparer should include enough detail to understand what the cost share is and how it was used for the project. For example, “University X funded 25 scholarships for students to enroll in university courses during the 2015-16 academic year.”
- **Source of Funds:** The preparer should list the name of the individual/organization/entity that has provided the cost share. If an organization is providing cost share to RTI, it should be verified that this organization’s source of funds is not the U.S. Government. For example, if computers were donated to a project by a partner organization, those computers should not have been purchased from a project funded by the U.S. Government.
- **How Is the Cost Share Activity Necessary and Reasonable for Accomplishment of Project Objectives:** The preparer should state how the cost share has contributed to RTI’s project objectives. Using the example of scholarships provided as cost share, one could state, “These scholarships increase student enrollment as part of project objectives to improve student university enrollment.”
- **Cost Share Valuation:** The cost share valuation should indicate the currency and list the details in the table of cost share provided by a particular individual/entity during the time period specified on that Cost Share Report. Receipts or other proof of valuation should be attached to this document for reference.
- **Supporting Documentation Requirements:** Documentation should be attached to the back of the Cover Page and scanned into QuickBooks using Source Link in order to be included in the

monthly report submission to RTI Headquarters at month-end close. The supporting documentation should verify how the amounts on the Cost Share Cover Page were established. Supporting documentation should be reviewed, similar to the process/requirements for documenting project expenses. Examples might include a letter from a cost share provider verifying the contribution with values, with quotes from the local market to determine fair and reasonable values and documents verifying volunteer or donated labor, including the name of the volunteer and the basis for determining the daily/hourly rate, etc.

- **Signatures Required:** If the cost share is provided by a local organization as part of the requirement in a subagreement or grant, the senior representative of the organization should sign the Cost Share Cover Page. -If the local organization submits a letter in lieu of the form, the signed letter should be attached to the back of the Cover Page. The project Finance and Administration Manager should sign and date the form to verify the fair market value and supporting documentation. The COP should sign and date the Cost Share Cover Page to provide his/her approval and to verify that, to the best of his/her knowledge, the cost share has not be used on another U.S. Government-funded project, per the requirements in 2 CFR 200.
- **Field QuickBooks Description:** The preparer should sequentially number each cost share report and include this in the QuickBooks description. That way, each cost share report can be tracked back to the supporting documentation. The description in this field should match the QuickBooks description. For example, CS #1 MOH Salaries or CS #2 WHO Per diems, or CS #3 University scholarships.



Attachment A20
Project Monitoring and Oversight Plan

Description		Frequency
General Oversight		
Insert general activities that would apply to all Grantees or project management		
Partner Specific Monitoring activities		
Insert Grantee Name (risk level identified pre award)		



Attachment A21 Grantee Invoice Review Checklist

	Yes	No	Not Applicable	Comments
Did the Grantee submit the invoice on the required template?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
Did the Grantee submit the invoice within the prescribed due dates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Did the Grantee reconcile the advance provided with the expenses for that reporting period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the period billed within the agreement's period of performance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the amount billed within the agreement's obligated amount?				This is not necessarily the total value of the grant. This is only the authorized funded amount.
Cross check the mathematical calculations are correct for total amount billed, cumulative amount billed and amount owed. Is it correct?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If not, have the grantee revise and re-submit with certification.
Did the Grantee submit any supporting documentation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If so, list the details of what was submitted: (For Example, Bank reconciliation, Receipts, bids for procurement, timesheets, petty cash disbursements)
Did the Grantee include the Grant Number, reporting period, project number or task code structure?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
Did the Grantee break down salaries and fringe by individual positions?				

Confirm the salary paid is allocated properly in accordance with the timesheet and employment contract and salary rate matches.				
Did the Grantee procure any items above \$500 (unit value) during this reporting period?				If so, was there prior approval? Review the supporting documents for the procurement to ensure there was competition and source selection documented.
Did the Grantee include any expenses that require prior approval per the terms of the grant agreement (procurement, consultants, subcontracts/grants, international travel)?				
Were travel hotel and per diem payments made within maximum limits? Were hotel expenses charged at fixed or actual rate? Are there receipts to support the amount charged?				
Did the grantee have travel authorization and travel expense reports available for review on file?				
Are shared administrative costs charged directly on the invoice?				If so, what basis are the shared costs allocated? Every 6 months, the method of allocation should be reviewed to determine it is done equitably.
Is the invoice signed by a senior representative of the organization with the proper certification?				
Did the Grantee provide the services that are identified in the invoice to the project which is being charged?				Is there evidence or results that substantiate the work?
Does the grant require cost share or leverage? If so, did the grantee submit cost share reports with the invoice?				If not, what percentage of cost share commitment remains in relation to the grant period?

**Attachment A22
Sample Closeout Report**

		Date Submitted by Grantee	Approved By
Part I – Performance Reports			
	Date Grantee submitted the final Final Programmatic Report		
	Date Grantee submitted the Final M&E data/performance indicators		
	Upload a copy of the final program report		
Part II – Financial Reports			
	Date Grantee submitted Final Financial Report (Marked Final)		
	Date RTI Disbursed final payment		
	Date RTI Liquidated all financial obligations under the grant		
	Refund to RTI any balances of unobligated cash that RTI advanced or paid and that is not authorized to be retained by the recipient for use in other projects (Cost Reimbursement Only)		
	Audited Financial Statements (if required)		
	Final VAT Report (If required)		
	Final Interest earned report on bank account (only for cost reimbursement grants with advances)		
Part III – Inventory and Property Reports			
	Real and personal property inventory report (written and visual)		
	Grantee Disposition Plan		

Notes for Outstanding issues:

Report Prepared and Submitted by:

Attachment A23

Grants Close Out Guidance & Checklist

TIMELINE

6 months prior to close out - analyze grantees to determine the cash flow requirements, will any grants need to be extended?

60 days prior to expiration of grant period, send close out letter

30 days after the expiration of the grant period ensure final reports have been submitted (generally due 30-60 days after grant ends)

NOTIFY GRANTEES OF CLOSE OUT

1. 30 -60 days prior to grantee close out, send close out letter with instructions and requirements prior to closing out.

COMPLETING PERFORMANCE REPORTS

1. Technical staff both at a home office and field level (COP, DCOP, Project Coordinator, Project Manager as appropriate) working with M&E Specialist(s) and Grantee ensure that final grant report has been prepared, reviewed and approved.
2. Ensure deliverables have been submitted and milestones/outcomes have been completed (FAAs mandatory)

FINANCIAL REPORTS & FINAL GRANTEE PAYMENTS

1. Receive and review the Final Financial report from each grantee. (**Finance/Grants Manager**)
 - The report must be reviewed against the approved budget and remaining funds.
 - All receipts and back-up documentation should also be reviewed.
 - Grantees should be requested to address any discrepancies and provide any missing documentation
2. Ensure Final VAT report is included with Final Financial Report
3. Ensure all balances advanced or paid are liquidated and/or refunded to RTI
4. Review all payments and ensure recorded properly within RTI's records, all payments within the obligated value of the grant
5. Ensure Final Cost Share report is included with Final Financial Report, if required

INVENTORY PROPERTY REPORTS

1. Receive and review full inventory of property purchased under the grant agreement
2. Grantee submits disposition plan with proposed disposition location and condition (Excellent, Good, Fair)
3. Project staff determine property that can be disposed without client approval and for items that require client approval, insert into overall project disposition plan

OTHER MISCELLANEOUS MATTERS

1. Ensure any project specific bank accounts have been closed and any interest above \$250 has been returned to the project
2. Ensure any project specific or regulatory audits have been conducted and audit reports are available before project close out
3. Issue final Close Out Modification that de-obligates funds to match the total cumulative expenditures as submitted in the final financial report (not mandatory, but best practice)

**Attachment B:
Anti-Terrorism Certification**

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3)) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.”

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (USAID ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. 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 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 **Specialty Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC), or (ii) is not included in any

supplementary information concerning prohibited individuals or entities that may be provided by 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, Osama 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. 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.”

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 USAID funds or USAID-financed commodities to the ultimate beneficiaries of 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 USAID prior to the end of its term.

5. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (USAID ADS 206) and (4)) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 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

Date of Application _____
Name of Recipient _____
Typed Name and Title _____
Signature _____
Date _____

[Return to Section 3.4.2.2](#)

**Attachment C:
Disclosure Form for Restrictions on Lobbying**

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _ ____
4. Name and Address of Reporting Entity: Prime Subawardee Tier _____, <i>if known</i> : Congressional District, if known: 4c	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, <i>if applicable</i> :	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)



INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.