

DAI Global, LLC

The USAID Jalin Project

USAID Contract No. AID-497-C-17-00001

Grants Manual

Approved December 2017
Revised June 2020

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Acronyms

ADS	Automated Directive System
APS	Annual Program Statements
CFR	Code of Federal Regulations
COP	Chief of Party
CSO	Civil Society Organization
DAI	DAI Global, LLC
DCOP	Deputy Chief of Party
DUNS	Data Universal Numbering System
EPLS	Excluded Parties List System
FAA	Fixed Amount Award
GOI	Government of Indonesia
GUC	Grants Under Contract
MMB	Multi-stakeholder Management Body
MN	Maternal and Newborn
MNH	Maternal and Newborn Health
NGO	Non-Governmental Organization
RFA	Request for Applications
SAM	Systems for Award Management
SDN	Special Designated Nationals
TAMIS	Technical and Administrative Management Information System
TEC	Technical Evaluation Committee
CO	Contracting Officer
COR	Contracting Officer's Representative
US	United States
USAID	United States Agency for International Development

I. Grants Manual

This Grants Manual provides guidance for the competition process, selection factors, and types of grants to be utilized for the most appropriate funding mechanism for eligible applications to receive catalytic financing where appropriate to achieve goals that respond to expressed local needs and contribute to achievement of the stated results of the USAID Jalin Project (hereafter referred to as “Jalin” or the “Project”). All applications will be reviewed and may be refined by Jalin before final negotiation and submission to USAID/Indonesia for award determination.

This grants manual was developed and submitted for approval by the USAID/Indonesia Contracting Officer during the project’s initial start-up period during the fall of 2017. Approval of the original Manual was received in December 2017. Throughout the first two years of project implementation and in response to the contract modification received in September of 2019, USAID Jalin updated this manual and submitted for approval in June 2020.

Note that any revisions to the funding determination considerations outlined in this Grants Manual require prior written authorization from DAI Global, LLC’s (DAI) Contracts Administrator.

2. Responding to USAID Requirements

The Jalin contract authorizes GUCs to U.S. or non-U.S. non-governmental organizations (NGO) over the life of the project of up to \$2.3 million. It is anticipated that the Project may manage 25-75 grants, the size of which will vary according to the purpose of the financing and appropriate partnership arrangement. Note Jalin is not authorized to execute or administer Cooperative Agreements on USAID’s behalf.

All grants will be awarded in accordance with Automated Directives System (ADS) 302 and 303, 2 CFR 200, and 2 CFR 700. Unless otherwise directed by the Contracting Officer (CO), the Contracting Officer’s Representative (COR) will be significantly involved in establishing selection criteria, and must approve the actual selection of Grantees and each award.

Jalin will apply the same requirements GUCs as those that apply to USAID-executed grants. USAID will retain the right to terminate grant activities unilaterally in extraordinary circumstances (see ADS 302.3.5.6). Jalin will [1] establish eligibility criteria and procedures for the review and approval of grant applications with the USAID/Indonesia CO, unless authority has been delegated to the COR, [2] submit grant proposals to the USAID/Indonesia CO for review and award determination, unless authority has been delegated to the COR, [3] monitor grants and report on results, and [4] ensure that all grants comply with USAID policies regarding grants under contract as described in ADS 302.3.4.13.

Jalin will allow Grantees to submit final reports and include sufficient time for the Project to complete a review of the Grantee and its work, and provide a final report as per the contract with USAID/Indonesia before close-out and no later than sixty (60) days prior to the end date of the Jalin contract.

Developing Program Description

USAID/Indonesia's Jalin Project, initiated in September 2017 through a contract with DAI, is a five-year program which will support the Ministry of Health (MOH) to achieve an accelerated reduction in maternal and newborn deaths – a priority recently reconfirmed by the President of Indonesia. In June 2019, USAID issued a Request for Proposal to modify the USAID Jalin Project's total estimated cost and scope of work. This request resulted in shifts to Jalin's technical approach, focused on working towards two results: 1) Improved maternal and newborn health (MNH) quality of care in public and private, and primary and secondary facilities, at scale; and 2) Improved efficiency and effectiveness of the emergency referral system at community and facility levels, at scale.

The first two years of Jalin's implementation produced lessons learned that enabled the Project to develop a new Theory of Change (ToC) and Results Framework (RF) that provide a path forward to achieve Jalin's goals of reduced maternal and newborn mortality in Indonesia. In collaboration with USAID, Jalin developed a RF to re-focus the Project on addressing MNH issues leading to mortality, including focusing on quality of care within the clinical setting and an effective emergency referral system in order to respond to the and Government of Indonesia's (GOI) priorities. The RF activities ensure that the interventions Jalin supports are appropriately focused and directed towards priority MNH challenges. Specifically, the re-focus addresses the following:

- *Direct link to reducing mortality:* The project activities have a direct link to reducing maternal and newborn mortality in Indonesia.
- *Direct link with the MOH priorities:* The project activities have been validated by the MOH and are designed to ensure greater impact, broader ownership, and sustainability by embedding Jalin activities in the national and sub-national level.
- *Support for Journey to Self-Reliance (J2SR):* The project activities were developed in the context of USAID's J2SR framework, as well as Indonesia's J2SR country roadmap for 2019.
- *More focused private sector engagement:* The private sector presents a significant opportunity for leveraging resources and technical assistance. Moving forward, Jalin's engagement with the private sector will be strategic and linked to addressing program objectives.
- *Ensuring long-term benefit from Jalin:* The project activities treat sustainability as integral in all components from the start; and aim to achieve the sustainable state well before the end of the Project.

Jalin will be responsive, flexible, and adaptable to the evolving Indonesian context to effectively bring a diverse group of people together to co-define, co-create, co-finance, and implement sustainable and scalable approaches to improve MN survival, specifically among the poorest and most vulnerable populations in Jakarta and through the six focus provinces of Banten, Central Java, East Java, North Sumatra, South Sulawesi, and West Java.

Jalin's grant programming will support development impact through partnerships that harness the expertise, ingenuity, and creativity of investors, problem-solvers and champions across Indonesia, the region and beyond. The Project will work with traditional and non-traditional partners to inspire risk-taking, learning and adapting, catalyze markets while addressing their failures, and improve cost-effectiveness by leveraging assets, advantages, and investments to fund innovative solutions.

All grants will be consistent with Jalin overarching principles, strategies and priorities as represented in the Project Results Framework.

Jalin will ensure coordination amongst and between Grantees and other donor-funded interventions to avoid duplication of effort and maximize potential impact. The Project's support to Grantees will complement other non-financial Jalin contributions and will leverage local resources, including in-kind contributions of Grantees, and those of other donors.

USAID/Indonesia Development Objective 2

Essential human services to targeted populations improved and sustained.

Intermediate Result 2.1

Preventable deaths among women and children reduced

Developing Eligibility Criteria

As noted above, unless otherwise directed by the USAID/Indonesia CO, the USAID/Indonesia COR will be significantly involved in establishing evaluation criteria for selection of successful Grantees and issuance of awards. At a minimum, all grant applications must meet the following minimum criteria:¹

- Contribute to [USAID's DO2 and Intermediate Result 2.1](#) (see text box above);
- Display sound management in the form of financial, administrative, and technical policies and procedures that are in written form and present a system of controls that guard assets, protect against fraud, waste, and abuse, and support the achievement of goals and objectives;
- Exhibit a willingness to complete all required certifications, and branding and marking requirements;
- When applicable, provide an environmental assessment and mitigation report to comply with USAID environmental regulations;
- Demonstrate outreach capabilities with linkages to beneficiary group(s);
- Have a Data Universal Numbering System (DUNS) number;²
- Provide Articles of Incorporation or other documentation which substantiates the legal character/registration of the entity in country/region of operation; and
- Meet minimum statutory restrictions as detailed in the System for Award Management (SAM), Terrorism/Special Designated Nationals (SDN)/Blocked Persons/Office of Foreign Assets Control.

3. Soliciting Applications

Jalin is committed to working with applicants throughout the solicitation and application process, by facilitating discussion about and development (as appropriate) of applications, and documenting the process.

The COP, Deputy Chief of Party (DCOP) and the [Program Management Lead \(PML\)](#) are responsible for overseeing the entire solicitation process. The [PML](#) will draft Requests for Applications (RFA), and Annual Program Statements (APS), ensures proper reception of applications and oversees documentation activities and storage in the Jalin Technical and Administrative Management Information System (TAMIS). The Chief of Party (COP) and Deputy Chief of Party (DCOP) will review and approve all final draft solicitations prior to submission to USAID/Indonesia.

¹ Proposals from individual citizens will not be reviewed.

² A DUNS number is required for non-U.S. organizations applying for grants in the amount of \$25,000 or more. A DUNS number is required for U.S. applicants regardless of the grant amount. The award of a grant is contingent upon the organization's providing a DUNS number to Flagship MNH. Organizations who fail to provide a DUNS number will not receive a grant.

Jalin staff involved in developing concepts for consideration or identifying potential Grantees, will not be part of the Technical Evaluation Committee (TEC)³ but may be asked to recommend, explain, or justify applications to better inform TEC members. TECs will be comprised of Jalin staff with relevant technical, operational, and financial expertise, and may include non-voting staff members who have experience or knowledge germane to technical, operational, or financial aspects of the solicitation. Jalin will accommodate USAID/Indonesia staff if they choose to participate in or observe any part of the process. For more details see Technical Evaluation Committee section below.

The DCOP is responsible for the overall management of the TEC and the interface between the TEC and COP. S/he ensures the integrity of supporting documentation and presentation of the TEC evaluation results to the COP. The COP is responsible for making the final best value decision based on a comparative assessment of proposals against all source selection criteria in the solicitation. DAI's Contract Administrator will review grant proposals prior to submission to USAID/Indonesia for award determination.

It is also important to note that all solicitations must be reviewed and approved by DAI's Contracts Administrator prior to submission to USAID/Indonesia for review and approval, and public issuance by Jalin.

Jalin may use several methods to solicit applications from organizations to implement grants that contribute to achievement of the Project's Intermediate Results. Depending on the circumstances of the required assistance, public or direct solicitations may be issued and will include a clear description of Project objectives and requirements.

- An RFA is used most often to invite applications designed to achieve discrete Jalin objectives or results and therefore have a specified and finite response period.
- An APS is usually open for a year and is designed to encourage submission of concept papers to address a wider range of Jalin objectives or results. Concepts are received and evaluated on a rolling basis with potential viable submissions being developed into full applications.

Competitive vs. Non-Competitive determination

The overall purpose is to ensure competition in the award of grants unless an exception is authorized. Jalin will ensure that competition requirements are met when an announcement has been published and applications reviewed per appropriate regulations and procedures. Grant proposal development and recommendations to USAID/Indonesia for award determination will be made following impartial review and evaluation of all applications.

Exceptions to Competition

Instances of restricted competition will be in accordance to ADS 303.3.6.5.

Jalin will ensure that justification for exceptions are approved by the COP following consultation with DAI's Contracts Administrator.

³ All references to TEC implies both technical and budget review teams.

Develop solicitation

As noted above, all solicitations require either an RFA or APS that include, at a minimum, a description of Jalin objectives and requirements, clear instructions for potential applicants, and any forms, templates, or checklists to help applicants track and submit all necessary programmatic, financial, or organizational documents. Jalin will review all draft solicitations from the perspective of organizations that know very little to nothing of the Project and revise or re-structure them to ensure that they are sufficiently clear.

Note that while RFAs should include as much detail as possible, APSs should be kept as simple as possible in order not to be too narrowly focused and potentially preclude unique or creative ideas.

At the start of each solicitation cycle, [the technical staff will develop a Program Description for the RFA. This Program Description will be reviewed and approved by the COP who then submits it to the USAID/Indonesia COR for final review and approval along with the associated selection criteria. Once approved, the PML](#) will bring together Jalin staff to discuss and walk through each section of the RFA template. The PML will then hold a meeting with all staff involved in the grant making process to review details and processes of the solicitation, and agree on best options for implementation of grants based on available funds, Jalin goals and objectives, eligibility, and selection criteria, and how applicants may respond to the solicitation. Proper preparation is critical to ensuring effective, competitive, and transparent solicitations to avoid delays, complications, or grievances.

All Jalin solicitations shall include the following:

Cover Letter

- Create a cover sheet that includes: [1] a brief summary of the information that is contained in the full RFA or APS; [2] dates (issuance of the solicitation, closing date for applications, period of performance, and the end date for questions regarding solicitation) and consequences for late submissions; and [3] rules as to how the award shall be administered and direct applicants to a point of contact, including name, title, address, e-mail address, and phone and fax numbers, where a potential applicant can get any materials it may need to apply or state that the RFA contains everything a potential applicant needs to apply.
- State minimum eligibility and qualification requirements of applicants, including a clear identification of types of entities that may apply.
- Describe the selection criteria and process used to evaluate applications, including an indication of their relative importance.
- Describe what a successful applicant can expect to receive following selection for award such as requirements and expectations regarding reporting.
- Outline the required format for the application.
- For non-U.S. organizations, the RFA must state that the Standard Provisions for Non-U.S. Non-governmental Recipients will apply.
- For U.S. organizations, the RFA must state that 2 CFR 200 and 2 CFR 700, Office of Management Budgets Circulars, and the Standard Provisions for U.S. Non-governmental Recipients are applicable.

Program Description and Attachments

- General description of the proposed program with an indication of the range of activities that might be involved, established goals of the activity, if any, which the applicant is expected to meet, [and criteria for selection.](#)

- Ensure the Attachments include all the required certifications, including the Certification regarding Prohibition of Assistance to Drug Traffickers, Certification regarding Terrorist Financing, Certification regarding Debarment, Suspension and other Responsibility Matters, Certification regarding Drug-Free Workplace, or any other necessary certifications.
- State that successful applicants will require a branding and marking plan under the grant. Jalin will refer to the Jalin Branding Implementation and Marking Plans, and consult with the USAID/Indonesia COR regarding updated special requirements.
- State clearly any gender or environmental issues or requirements and give priority to developing program strategies that adequately address them.
- State any other Special Grant Requirements (e.g. limitations on direct costs or no indirect costs allowed) and whether the award shall or shall not allow the reimbursement of pre-award costs.

Issue solicitation

Once the draft solicitation is finalized, Jalin will send it to DAI's Contracts Administrator for review and approval as per the Project Schedule of Authorities. Upon approval, the solicitation will again be reviewed and approved by the COP prior to issuance to the public through the most appropriate means to ensure competition (e.g., traditional media, NGO networks).

4. Receiving Applications

The recommendation or selection of an application in accordance with established minimum eligibility criteria and procedures does not guarantee an award. All applicants must demonstrate that they possess, or can obtain, the necessary management competency to practice mutually agreed upon methods of accountability for funds and other assets.

The PML will log all applications into TAMIS, and save all hard copy applications in files (whether funded or not). Jalin may not save each application packet electronically in TAMIS, but will log them to ensure accurate tracking of applicants and applications. The PML also reviews applications for responsiveness to the solicitation in terms of eligibility requirements and completeness. Note that for eligible proposals that require additional documentation, the PML may allow Grantees an additional period (e.g., 48 hours) to complete their application.

TAMIS

- Tracks grant applications and creates grant proposals.
 - Stores information on all grant proposals including the status of the application, basic proposal information, contact information, the budget and evaluation documentation.
 - Drafts form letters to applicants including [1] Acknowledgement of Receipt of Grant Application, [2] Reply to Request for Grant and [3] Thank You for your Application - We Require More Information.
-

5. Evaluating Applications

Jalin may receive applications and award grants on both a solicited and unsolicited basis. An unsolicited application refers to a written application submitted on the initiative of the offeror and not in response to a Jalin solicitation while a solicited application is a written concept paper or application submitted in response to a solicitation.

Evaluation

As noted previously, the competency, suitability, and capability of eligible applicants will be evaluated based on established criteria in accordance with ADS 303.3.6.3 as [presented in the solicitation](#) and relevant to the scope of work of the solicitation. The COR will be significantly involved in determining selection criteria for all solicitations. The evaluation process may require meeting with applicants, conducting site visits, background research and requesting additional information.

Technical Evaluation Committee

All applications will be reviewed by the TEC in accordance with evaluation criteria specified in the solicitation or, if unsolicited, in accordance with Jalin goals and objectives. The PML will review applications and only forward to the TEC for review applications that meet minimum eligibility requirements (see below for details). The TEC will consist of at least three Jalin representatives who will score each application individually strictly in accordance with the evaluation criteria prescribed in the RFA.

The TEC members will meet to discuss and justify their scores and will have the opportunity to amend their scores based on discussions with other members of the committee. The PML will take notes and aggregate scores.

TEC members evaluate and score each cost element against corresponding technical elements for reasonableness and allowability to understand:

- The extent of the applicant's understanding of the financial aspects of the program and ability to perform the grant activities with the funds requested; and
- The extent to which the proposed activities will accomplish the proposed grant objectives with reasonable economy and efficiency.

The extent of the cost evaluation will vary depending on grant type and complexity of proposed activities, experience with the applicant, and the amount and type of costs proposed. The TEC will review some or all of the following documents:

- Recent audited financial statements;
- Projected budget;
- Cash flow;
- Organization chart; and
- Applicable financial, procurement, personnel, and other policies, as appropriate.

Note that the TEC may request assistance from the Operations or Finance Manager, if needed, to better determine reasonableness.

The PML will document all evaluation discussions, findings and recommendations that confirm that the applicant:

- Has adequate financial resources, or the ability to obtain such resources, as required during the performance of the award;
- Can meet the award conditions, taking into consideration all existing commitments, including other activities with donors, or non-governmental and governmental entities, for example;
- Has a satisfactory record of performance;⁴
- Has a satisfactory record of business integrity;
- Is otherwise qualified to receive an award under applicable laws and regulations; and
- Has not been debarred, suspended, or proposed for debarment.⁵

The PML will ensure that TEC members, as well as any other Jalin staff, do not have any conflicts of interest or the appearance of such with applicants. An individual shall be 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 or are negotiating to work for, or have a financial interest (including being an unpaid member of a Board of Directors) in any organization which submitted an application currently under the Committee's review.

Additionally, all staff must also attest that they shall neither solicit nor accept gratuities, favors, or any other types of gifts from parties to applications and grants. They also must declare that they do or do not have any conflicts of interest or the appearance of such with regard to the organizations (or affiliated individuals) whose applications they will review.

⁴ Generally, relevant unsatisfactory performance in the past is enough to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance, or the applicant has taken adequate corrective measures to assure that they can perform satisfactorily.

⁵ See Responsibility Determination under Negotiating Proposals below for more details.

A conflict of interest is any interest, financial or otherwise, direct or indirect; participation in any business, transaction or professional activity; or incurring of any obligation of any nature, which is or appears to be in substantial conflict with the proper discharge of duties in relation to a DAI-funded project. Conflict of interest includes, but is not limited to:

- *An occasion when an individual's private interest differs from his or her professional obligations;*
- *A situation in which professional actions or decisions occur that an independent observer might reasonably question; or*
- *Nepotism, i.e., favoritism shown to a relative on the basis of an immediate family relationship (Note: immediate family can be defined as parents, children, siblings, grandparents, same categories of in-laws, foster and step children, and anyone living in the same household as a family.*

In case of potential conflict of interest, the committee member must recuse him/herself from the review process. Members of the TEC will neither solicit nor accept gratuities, favors, or anything of monetary value from parties to sub-grants.

Unsolicited Applications

Guidance on unsolicited grants is provided in ADS Chapter 303, Grants and Cooperative Agreements to Non-Governmental Organizations, section 303.3.5.5, Unsolicited Concept Papers and Applications.⁶

Jalin may make an award based on an unsolicited application without satisfying standard competition requirements [per ADS 303.3.6.4](#). when an application represents an appropriate use of Project funds to support achievement of objectives.

The PML must first certify that Jalin did not solicit the application and that the applicant submitted the application solely on its own initiative. Jalin must then review the application to determine whether its goals and objectives are realistic and align with those of the Project, and demonstrates sufficient technical capacity to deliver proposed activities and results. If the application is deemed to be actionable, Jalin will work with the applicant to refine the proposal before submission to the COR for award determination.

When the terms of an unsolicited application fit within the scope of a published and open APS, the application may be reviewed and considered under the applicable APS [per ADS 303.3.6.3.h](#).

6. Notifying Unsuccessful Applicants

The PML will notify applicants promptly in writing when their applications are excluded from competitive range negotiations or otherwise eliminated from consideration for a grant award. The notice shall state the basis for the determination and that a proposal revision will not be considered.

Applicants excluded from the competitive range or otherwise excluded from the competition before award may request a debriefing by submitting a written request for debriefing to the PML within three days after receipt of the notice of exclusion from competition. Note that a debriefing may be delayed until after award in which case it will include all information normally provided in a post-award debriefing.

⁶ <http://www.usaid.gov/policy/ads/300/303.pdf3>

If unsuccessful applicants fail to submit timely requests for debrief they may not be given a pre-award or a post-award debriefing. Applicants are entitled to only one debriefing per proposal.

Jalin will make every effort to debrief unsuccessful applicants. Debriefings will be scheduled expeditiously and may be conducted orally, in writing, or by any other method acceptable to the PML. Debriefings will include:

- Jalin's evaluation of significant application elements;
- A summary of the rationale for eliminating the applicant from competition; and
- Reasonable responses to relevant questions about whether source selection procedures contained in the solicitation, applicable regulations, and other applicable authorities were followed in the process of eliminating the offeror from the competition.

7. Negotiating Proposals

Proposal Development

Jalin and applicants must review, revise, negotiate and agree on all technical and cost elements, and confirm commitment and capacity to implement activities to achieve proposed outputs and targets in accordance with USAID and Jalin rules, regulations, and policies. Negotiations will ensure allowability, allocability, and reasonableness in accordance with applicable cost principles for U.S. Federal government grants.

Jalin recognizes that this process may be new for some applicants and therefore will take care to communicate clearly that applications for grants under contract must contribute to achievement of objectives.

Responsibility Determination

Prior to award, Jalin will check potential Grantees against the US Government's Excluded Parties List through the Systems for Award Management (SAM) database to ensure that they have not been debarred, suspended, or proposed for debarment. Jalin will also ensure that potential Grantees have not committed or pose a significant risk of committing acts of terrorism that threaten U.S. interests by checking relevant databases, including:

- The master list of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury's Office of Foreign Assets Control is available at: <http://www.treas.gov/offices/eotffc/ofac/sdn/tl|sdn.pdf>; and
- The database maintained by the Systems for Award Management (SAM) for Excluded Parties List System (EPLS) is available at: <http://www.sam.gov/>.

Supporting documents showing that these searches have been performed must be printed and filed in hard copy and in TAMIS.

Financial Capability Determination

Jalin uses a Financial Capability Questionnaire to assist in the process of evaluating a Grantee's financial management capability. Jalin may also verify financial responsibility and institutional capacity by inspections of annual financial statements, audit reports, letters from other donors, and/or on-site visits. Jalin will ensure that the Grantee's systems permit them to identify, segregate, accumulate and properly record all costs incurred under the grant.

If the financial management capabilities of a potential Grantee are determined to be limited or deficient, Jalin will classify the organization as high-risk per ADS 303.3.9.2. The PML will report the findings to the DCOP with a recommendation to not make an award or attach special award conditions, that may include:

- Require additional financial reporting detail or frequency;
- Provide technical assistance and/or training through a third party;
- Require the Grantee to subcontract for technical assistance; or
- Require that MNH staff provide technical assistance directly.

Additional requirements will be in effect only until the potential Grantee can correct institutional deficiencies.

In certain instances, Jalin may decide to cover the costs of an audit of the organization through a grant to that organization, particularly for large grants, if a pre-award responsibility determination demonstrates that the applicant is on the right track, but would benefit from regular audits to help ensure its financial and accounting systems function properly.

Budget Negotiation

Based on TEC discussions, findings, and recommendations Jalin will negotiate budget elements to ensure costs are realistic and reasonable. Jalin recognizes that this process may be new for some applicants and therefore will take care to communicate clearly that applications for grants under contract must provide best value delivery of results to USAID/Indonesia.

If Jalin considers awarding a grant to a for-profit entity it shall ensure that no fee or profit is included in the grant budget. Furthermore, Jalin shall strictly avoid the direct receipt or deposit of Grantee program income to a project-controlled bank account under the grants program. Prior to any negotiations with a for-profit entity, Jalin must consult DAI's Contracts Administrator.

Branding, Marking, and Communication

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or Cooperative Agreement or other assistance award or sub-award, must be marked appropriately overseas with the USAID identity. See Section 641, Foreign Assistance Act of 1961, as amended, 2 CFR 700.16.

Implementation of Branding and Marking Requirements

Definitions

USAID terms should be used as appropriate by Grantees. These terms and their definitions can be found in the Mandatory Standard Provisions for both US and Non-U.S. Non-governmental Organizations.

Marking of Program Deliverables

All Grantees must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or sub-award 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 ensure that the marking requirements "flow down" to Grantees, Jalin will include the USAID-approved marking provision in any USAID funded grants, as follows:

As a condition of receipt of this sub-award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity. [CFR 226.91 Marking]

Any 'public communications', as defined in 2 CFR 700.1, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID, the United States Government, or Development Alternatives, Inc. [2 CFR 700.16, Marking]

Jalin will provide the COR or other USAID personnel designated in the contract [and submit any final reports or deliverables](#) to USAID's Development Experience Clearinghouse.

Jalin will require that the Grantee submit a marking plan, to be approved by Jalin as part of pre-award negotiations – [unless a waiver is granted per ADS 303.3.6.2](#). The marking plan shall be consistent with USAID's overall branding and marking requirements and Jalin's approved Branding Implementation and Marking Plans under the contract. The plan will include:

- A description of program deliverables that the Grantee will produce as part of the Grant Award and that will visibly bear the USAID Identity; and
- The type of marking and what materials the Grantee uses to mark the program deliverables with the USAID Identity.

Grantee Branding Implementation and Marking Plans must be consistent with USAID/Indonesia's Branding Strategy and Marking Plan, and Jalin's approved Branding Implementation and Marking Plans. They should describe how the program, project, or activity is named and positioned; how it is promoted and communicated; and identifies all donors and explains how they will be acknowledged. The marking plan should detail the public communications, commodities, and program materials intended to visibly bear the USAID Identity.⁷

The USAID/Indonesia COR must review and approve any Grantee Branding Implementation and Marking Plans that deviates from Jalin's approved Branding Implementation and Marking Plan.

⁷ For additional information on Branding and Marking, please see www.usaid.gov/branding

8. Preparing the Grant Award⁸

After financial management and responsibility requirements have been satisfied and final negotiations completed, the PML will prepare a Grant Award in accordance with the appropriate grant mechanism. All Grant Awards must include a program description that identifies the goals and objectives of the grant project, the activities to be carried out, and the measurable results to be achieved.

Basic Components of Grant Awards

	Simplified	FAA	Standard	IK
Signature Page	X	X	X	X
Overview Page and Articles	X	X	X	X
Attachments				
Program Description	X	X	X	X
Program Budget	X	X	X	X
Request for Reimbursement Form	X			
Grant Payment Request Form		X		
Reconciliation and Advance Request Form			X	
Reporting on Payment of Foreign Taxes	X	X	X	
Financial and Programmatic Report Format	X	X	X	
Certification/s	X	X	X	X
Branding Strategy and Marking Plan	X	X	X	X
Mandatory Standard Provisions and Required as Applicable Provisions		X	X	X

All special conditions must be clearly stated in the award. If program income is anticipated during the award period, the purpose, procedures and use of this income by the Grantee or donation by the Grantee to another organization shall also be specifically stated in the award.

Finalize Award

The PML is responsible for ensuring that all documentation is complete, accurate and stored in files and in TAMIS. Once the COP is satisfied that all policies and procedures have been followed, and the final technical and cost elements of the proposal are in line with Jalin goals and objectives, s/he will submit the complete proposal, including all documents related to the solicitation, to the COR for review and CO for award determination.⁹

Once a proposal is submitted, the PML will update TAMIS by changing the status of the application to a grant (“Submitted”) and assigning a grant number. If the COR determines that the proposal meets all requirements, s/he will provide official approval and authorize Jalin to fully execute and begin administration of the Grant Award.

⁸ Jalin will, when necessary, consult with DAI’s Contracts Administrator prior to final negotiations and Grant Award execution with applicants.

⁹ Jalin will coordinate with USAID/Indonesia to ensure that proposal submissions include all documents the USAID/Indonesia COR requires.

Upon receiving approval, the PML will again change the status of the grant to “Approved” and generate a Grant Award document in TAMIS that will be printed out and serve as the contract between Jalin and the Grantee. S/he then reviews and approves all elements of the Grant Award documents, ensuring that the correct grant format is used and the required certifications are attached. Once complete, the PML submits the Grant Award to the COP for review.

The Grant Award, when final, is presented to the Grantee for review, discussion and signature and then returned to the COP for countersignature at which point the Grant Award is a binding document for both parties. The PML again updates the status of the grant in TAMIS to “Ongoing.”

9. Administering Grants Post-Award

It is important to note that Jalin administers grants as one team in that all staff are involved in discussions, delivering technical assistance, mentoring partners, attending events and conducting site visits. The Project uses a standard Trip Report format that staff are required to complete after every site visit to ensure that Jalin captures pertinent and timely information about Grantee activities and performance, Jalin staff observations and findings, and recommendations for improvements or remedial actions, as necessary, to inform responsive and adaptive management decisions.

Award administration encompasses oversight and management of the grant from grant award signing to completion and close-out. The nature and extent of administration can range from reviewing and analyzing performance reports or performing site visits to more intensive involvement, depending on the level of risk associated with the Grantee.

Immediately after the grant award is fully executed, Jalin will conduct a Grant Kick-off meeting to ensure Grantees fully understand all terms and conditions of the Grant Award, implementation plan and timetable (milestones and schedule of disbursement), as well as the roles and responsibilities of Jalin and Grantee staff. Discussions will also include details of required reporting, deliverables, and other obligations, including Jalin’s right to inspect the work in progress, Grantees’ management systems, and performing audits during or after the period of performance.

Note that Jalin will share all necessary and appropriate report templates with Grantees immediately post-award and/or as they are needed during the period of performance.

The PML is responsible for overseeing all grant management details, including review of financial reports, regular correspondence, site visits and other monitoring tasks. S/he is also responsible for processing all grant modifications, suspensions and/or termination of grant activities as determined by USAID/Indonesia to be warranted.

In-Kind Grants Disbursements

In-kind Grants disbursements relieve Grantees of some of the administrative requirements of cash grants and help to protect the integrity of the procurement process. Jalin may provide in-kind assistance by procuring contributions and delivering them as needed. A well-organized project procurement unit and accurate information about the availability and pricing in all areas of operation are key elements of efficient and successful in-kind disbursements.

Cash Disbursements

Jalin will use an electronic payment system for grant disbursements, whenever possible.¹⁰ Recognizing that cash disbursements can put Jalin and partner staff at higher risk, Jalin will ensure that Grantees comply with 2 CFR 200.302-305. The Mandatory and Required Applicable Standard Provisions for Non-U.S. Non-governmental Recipients that apply to cash disbursement grants will be incorporated into the Grant Award where applicable.

In the event Jalin intends to issue cash payments to Grantees, it will note this in the request for CO approval. Cash payments will be provided through wire transfers or issuance of checks in such a way as to minimize the potential for waste or fraud. Jalin will make payments to a Grantee upon completion of tasks or benchmarks, or upon presentation of receipts and other supporting documents as required. These two methods of cash disbursement are described below:

Incremental Payments

To qualify for incremental payments, the Grantee's accounting and financial management systems must conform to standards for funds control and accountability required under USAID and Federal regulations (2 CFR 200.302-305). New Grantees can use their existing accounting systems if they meet applicable standards as set forth in the CFR, the applicable Standard Provisions, and the Financial Capability Questionnaire. Other guiding principles for incremental payments include:

- Funds shall not be comingled with other Grantee-owned or controlled funds;
- Grantees should reconcile any prior advances before new advances are released; and
- Advances shall be limited to the minimum amounts needed to meet current disbursement needs and only if a pre-award determination of responsibility has been made.

After the budget has been negotiated and the Grant Award has been signed, the Grantee shall receive disbursements to support work to achieve planned milestones. Milestones must be achieved before subsequent disbursements are made.

Reimbursements

If a Grantee's financial management systems do not conform to standards for receiving incremental payments, the Grantee may still be eligible to receive reimbursements. As benchmarks are achieved, the Grantee can submit the Jalin Reimbursement Request form. Reimbursement will be identified by the relevant grant number and shall state the total costs for which reimbursement is being requested. The Grantee shall attach all receipts and other appropriate documentation. This type of disbursement mechanism requires that the Grantee has an adequate cash flow.

¹⁰ See Jalin contract section H.22 ELECTRONIC PAYMENTS SYSTEM for more detail.

Use and Disposition of Program Income from Grants

Program Income is defined as income earned by the Grantee that is directly generated by a supported grant activity or earned because of the Grant Award. It may result from activities integrally related to the grant, or from activities which 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 performing a role in the grant activity. The period for earning program income is any income earned by a Grantee during grant implementation, as reflected in the final financial report.

Examples of program income include:

- Fees for services performed and for the sales of services (e.g., 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 (e.g., 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.

The Grantee will inform Jalin of any Program Income generated under the grant and agrees to USAID's disposition of such program income which is in accordance with 2 CFR 200.307 and Required As Applicable Standard Provision #15 for non-US organizations. Program Income earned under Grant Awards shall be applied and used in the following descending order:

1. Added to funds committed by USAID and the Grantee to the project or program, and used to further eligible project or program objectives;
2. Used to finance the non-Federal share of the project or program; and
3. Deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

If the terms and conditions of the Grant Award do not specify how Program Income is to be used, then number 2 above shall apply automatically.

Grantees shall have no obligation to the US Government regarding Program Income earned after the end of the grant period.

Costs incurred when generating Program Income may be deducted from gross income to determine program income, if the costs have been charged to the Grant Award and comply with applicable rules for allowable costs under grants.

Publications and Media Releases

When publications are financed under a Grant Award, the Grantee shall provide Jalin [with electronic](#) copies of all published works developed under a Grant Award with lists of other written work produced under the Grant Award. At the end of the Grant, Jalin shall submit one electronic (online) [to the DEC](#).

Electronic documents must consist of only one electronic file that comprises the complete and final equivalent of a hard copy. They may be submitted online (preferred), on CD-R, or by e-mail. Electronic documents should be in PDF (Portable Document Format). Submission in other formats is acceptable but discouraged.

Each document submitted should contain essential bibliographic elements, such as 1) descriptive title; 2) author(s) name; 3) grant number; 4) sponsoring USAID office; 5) strategic objective; and 6) date of publication

In the event grant funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost, any profits, or royalties up to the amount of such cost shall be credited to the award unless the grant award has identified the profits or royalties as Program Income. Except as otherwise provided in the terms and conditions of the Grant Award, the author or the Grantee is free to copyright any books, publications, or other copyrightable materials developed during or under the Grant Award; but USAID reserves a royalty-free non-exclusive and irrevocable right to reproduce, publish, or otherwise use and to authorize others to use the work for government purposes.

Online (preferred)

<http://www.dec.org/submit.cfm>

Address and Contact Information

Document Acquisitions
USAID Development Experience
Clearinghouse (DEC)
8403 Colesville Road Suite 210
Silver Spring, MD 20910-6368

Phone: (301) 562-0641

Fax: (301) 588-7787

E-mail: docsubmit@dec.cdie.org

Monitoring, Reporting and Audits

Jalin will develop a monitoring and evaluation plan to track Grantee deliverables and overall performance. Performance information will be tracked and maintained in TAMIS.

The Grantee shall maintain books, records, documents, and other evidence relating to their work. Accounting records that are supported by documentation will at a minimum show all costs incurred under the Grant Award, receipt and use of goods and services acquired under the Grant Award, costs from other sources, the overall progress of the work.

All Grantees will be subject to regular and periodic monitoring visits and reporting requirements. All Grantees must submit a final report on activities and finances. For **Standard and Simplified** grants completed in less than six months, a final financial and activities report, must be submitted to Jalin upon completion. For **Standard and Simplified** grants exceeding six months, periodic expense and activities reports are required (and will be detailed in the Grant Award) in addition to final expense and activity reports.

Jalin will closely monitor overruns in expenditure categories or budgeted line items. If major budget shifts are anticipated or observed, the Grantee must request a modification to the Grant Award to ensure proper monitoring and to avoid overruns. Under certain circumstances, such as when a grant is over \$250,000, before grants are issued the Grant Award may specify that the Grantee is restricted from transferring funds among expenditure categories. Such a restriction would require the Grantee to get prior approval from Jalin before making budget shifts that expect to exceed 10% of the total budget.

Non-U.S. Grantees will be audited if they receive more than \$750,000 in USAID funds during one fiscal year **under a Simplified or Standard grant**. Non-profit U.S. Grantees must be audited if they received more than \$750,000 in USAID funds during one fiscal **year under a Simplified or Standard grant**. The thresholds include USAID funds received from all USAID sources, not just USAID funds received through Jalin grants. Jalin may require audits of Grantees that spend less than the above thresholds and for-profit Grantees. Jalin reserves the right to arrange for an audit at any time. In some cases, Jalin may decide to cover the cost of an audit through a grant, particularly for large grants. This might happen when the pre-award responsibility determination demonstrates that the organization is on the right track, but would benefit from regular audits to help the organization focus on ensuring its financial and accounting systems function properly.

Grantees are required to adhere to USAID regulations, including requirements to maintain records for a minimum of three years to make accounting records available for review by appropriate representatives of USAID or Jalin.

Amendments and Extensions

Grantees are required to request prior approvals for any deviations to the budget or activities. The Grantee should contact the PML to discuss necessary changes to the award as soon as possible, at least one month before new or changed activities are to take place. The following deviations will be considered:

- Change of key personnel specified in the award;
- Addition of funding and/or revision of funding allocation among project objectives; and
- Change of duration of the project (not to exceed the one-year threshold).

Amendments to the Grant Award must be made through formal written processes between Jalin and designated representative of the Grantee. Amendments will be preserved in the grant file and in TAMIS. Prior to issuing any modifications or extensions that significantly alter the total cost or technical requirements of an award, Jalin will notify the COR.

Amendments to grant budgets and/or activities will largely be avoided by proper pre-Grant Award program design, cost analysis and budget review. Nonetheless, unavoidable changes in circumstances may necessitate an amendment or extension. Period of performance changes or extensions are preferable to cost amendments whenever possible.

Language

It is USAID policy that English shall be the official language of all Grant Award documents. If Grant Award or any supporting documents are also provided in a foreign language it must be stated in each version that the English language version is the only official version (see ADS 303.3.20).

Grantee Responsibilities

Each Grant Award will include a clause that states:

The Recipient has full responsibility for executing the project or activity being supported by the grant and for complying with the award conditions. Although the Recipient is encouraged to ask for the opinion and support of DAI about any problems that may arise, this suggestion does not diminish the responsibility of the Recipient. The Recipient must apply solid technical and administrative criteria. The Recipient agrees to notify DAI about any significant problems associated with the administrative or financial aspects of the grant award.

Termination and Suspension

The Grant Award shall state that Jalin and USAID/Indonesia retain the right to unilaterally terminate a grant, in whole or in part, or suspend payments, should the Grantee become insolvent during grant implementation or should the Grantee not meet their responsibilities as set forth in the Grant Award. A Termination Letter will be sent to the Grantee and placed in the Grantee's file and in TAMIS, and will include the following:

- Reasons for the termination;
- Effective termination date; and
- Portion of grant activities and/or budget allocation to be terminated.

Records

The Grantee shall maintain financial records, supporting documents, statistical records and all other records pertinent to the grant in accordance with standard accounting principles formally prescribed by the U.S., the cooperating country, or the International Accounting Standards Committee (an affiliate of the International Federation of Accountants) to sufficiently substantiate charges to the Grant Award. Accounting records that are supported by documentation will, at a minimum, be adequate to show all costs incurred under the grant—receipt and use of goods and services acquired, the costs of the program supplied from other sources, and the overall progress of the program. Unless otherwise notified, Grantee and sub-Grantee records which pertain to the Grant Award shall be retained for a period of three years from the date of submission of the final expenditure report and may be audited by USAID and/or its representatives. Jalin will open a grant file for each Grant Award and follow the guidance set forth in Supplementary Reference ADS 303 "File Documentation Guidelines".

Grant Files and Close-out

Jalin reserves the right to conduct financial reviews or audits, and to otherwise ensure the adequate accountability of organizations expending U.S. Government funds. The grant files will contain the essential documents to demonstrate that the grant was successfully completed and that funds were spent prudently with costs justified.

To prepare grant files for close-out, Jalin will maintain an on-going official grant Master File, which will include documents that must be preserved in case of audit. This file will be clearly organized and easy to understand. An auditor with very little prior knowledge of the Jalin or the Grant Award can quickly review the file and conclude whether the grant funds were used for their designated purpose, whether systematic and competitive procurement procedures were used, and whether all funds were properly accounted for. At close-out, Jalin will ensure that all entries in the TAMIS are complete.

Grant paperwork beyond a single copy of the items on these checklists can be disposed of after close-out.

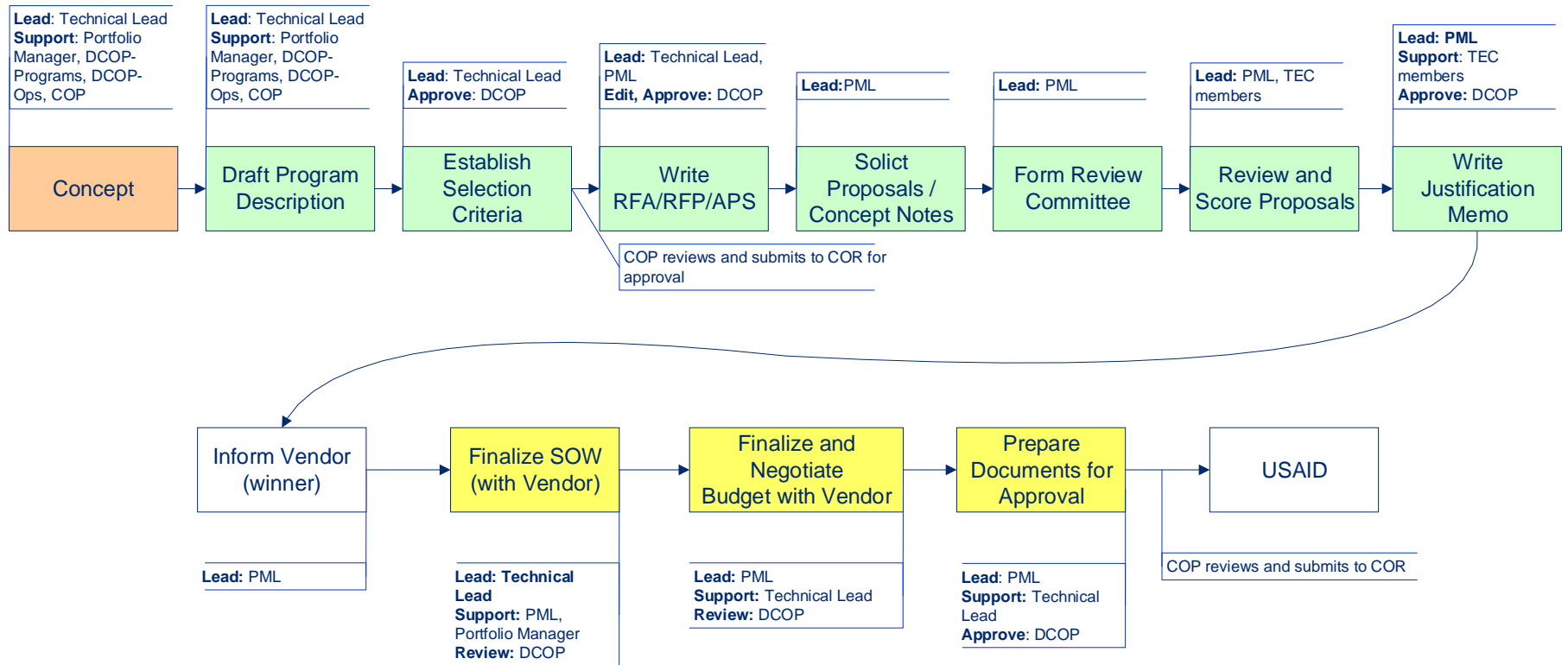
Close-out of Grant Awards under the standard and simplified formats are conducted in accordance with 2 CFR 200.343. Grantees shall provide Jalin with written certification that all activities are complete within 30 days of their completion.

Jalin is responsible for ensuring that the Grantee has completed all requirements for close-out and shall include information on grant close-out in monthly reports of grant activities.

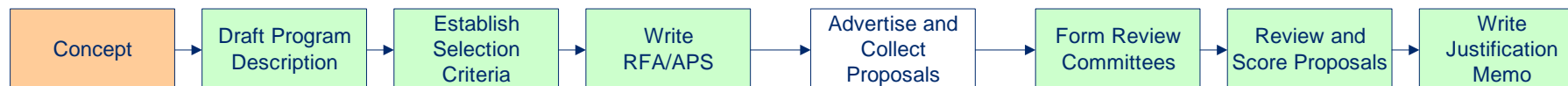
<p>Master File contents</p> <ul style="list-style-type: none"> ▪ Grant Documents ▪ Proposal from Grantee ▪ Grant approval from USAID ▪ Signed Grant Award ▪ Signed Addenda to Grant Award, if applicable ▪ Any extensions or additional approvals from USAID (including print-outs of approval emails), if applicable ▪ Grant Budget and any budget amendments ▪ Grant correspondence ▪ Grantee Certifications and proof of non-debarment and terrorist financing searches ▪ Grantee determination of responsibility 	<p>In-kind Grants</p> <ul style="list-style-type: none"> ▪ Bidding documentation (see section VI, Procurement Procedures) ▪ In-kind agreements with vendors, if used ▪ If a single item worth \$5,000 or more was given to a Grantee, the file must include an inventory list of such goods and equipment.
<p>Financial Documents</p> <ul style="list-style-type: none"> ▪ Financial reports from Grantee for simplified grant and standard grant (these can be stored separately, if organized by grant number) ▪ The financial documents themselves may be included in the grant file, or there can be a spreadsheet that cross-references grant payments with separate field-based Finance Department files. This permits an auditor to look up original receipts and other financial documentation for each grant as needed. 	<p>Reporting and Evaluation Documents</p> <ul style="list-style-type: none"> ▪ Periodic and Final reports from Grantee ▪ Reports on payment of foreign taxes ▪ Monitoring reports ▪ Impact assessments ▪ Additional demonstration of activities (i.e. photographs, cassette tapes of radio PSA, video tapes of conference events, newspaper clippings, and so on.)

Annex I. Grant Development Flowcharts

Grant Development Flowchart

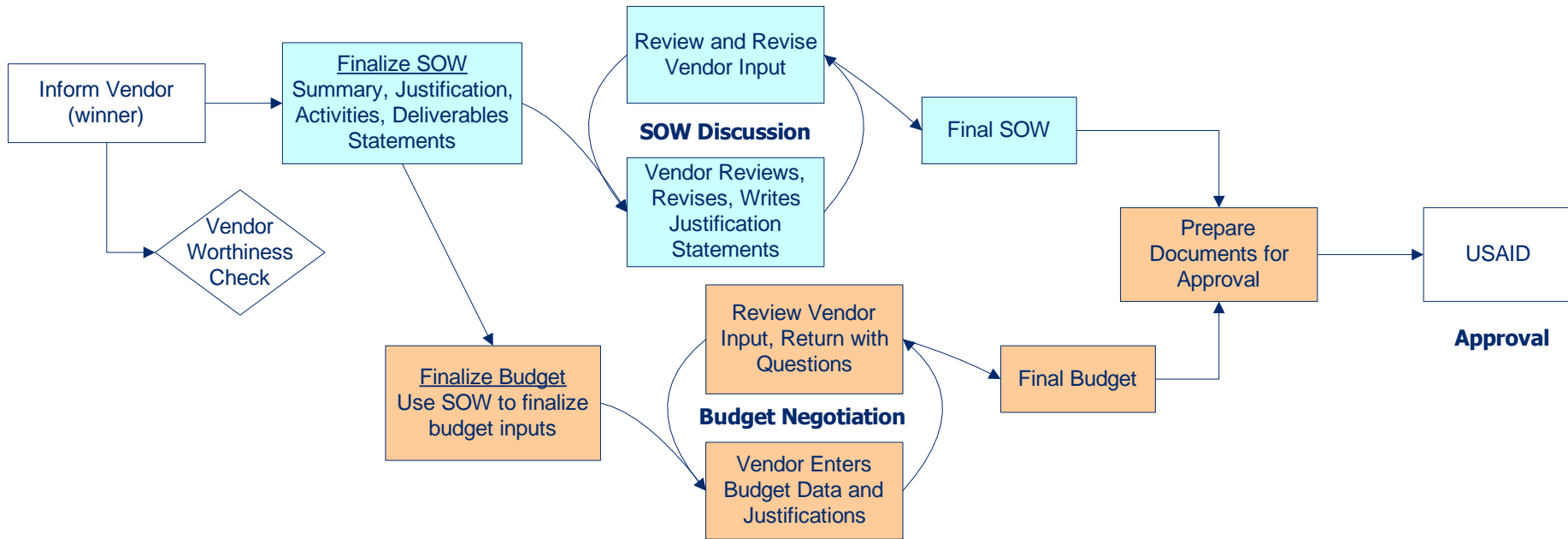


Vendor Solicitation and Selection Process



CONCEPT/SOW	SELECTION CRITERIA	RFA/APS	PROPOSAL REVIEW	JUSTIFICATION MEMO
<p>Technical Lead defines concept and drafts Program Description. Program Description must be clear and specific to ensure quick solicitation process.</p> <p>Clear list of activities is critical and must be in the RFA/APS. When writing this list, consider the following:</p> <p>Trainings, Events and Campaigns</p> <ul style="list-style-type: none"> • Duration of training or event • Number of participants • Location <p>Curriculum Development</p> <ul style="list-style-type: none"> • Number of days per module • Materials, guidebooks, guidelines needed • Specialized expertise required <p>Research Projects</p> <ul style="list-style-type: none"> • Duration of project • In-house, outside expertise required • Geographic Coverage <p>Documents and Templates</p> <ul style="list-style-type: none"> • Grant and Subcontract SOW templates • Grant and Subcontract SOW Guidelines • Annual Work Plan • Performance Monitoring Plan (PMP) 	<p>Technical Lead and PML prepare selection criteria and associated definitions, weights, and scoring levels. Criteria relate to most critical elements that determine effective implementation (e.g. skills, technical design, cost). Selection criteria must be included in the RFA/APS.</p> <p>COP reviews Program Description and selection criteria and submits to COR for approval.</p> <p>Criteria must be:</p> <ul style="list-style-type: none"> • Objective – anyone could determine whether the applicant meets the requirements. • Non Comparative – useful regardless of number of bidders. Example: “Must have 15 Staff” (good) vs. “Must have the highest number of staff” (poor). • Relevant – clear connection with work to be done. <p>Documents and Templates Proposal Scoring Instructions and Scoring Template</p>	<p>Technical Lead and PML write the draft RFA/APS for DCOP or COP approval. A good RFA/APS includes a clear objective statement, set of activities to be completed, and instructions on proposal preparation (clearly matched to selection criteria).</p> <p>NOTE: Allow a response time of 2 -3 weeks, depending upon the complexity of the tasks involved.</p> <p>RFA/APS must also include:</p> <ul style="list-style-type: none"> • Bidders’ conference (yes, no) • Issuance date, closing date and time. • Instruction to separate cost and technical submissions. • Number of copies required and form of submissions (electronic, hard copy). • Contact information for further information or questions. <p>Documents and Templates RFA/APS template</p>	<p>PML forms committee: a Technical Evaluation Committee (TEC) to score proposals on technical merit.</p> <p>PML provides members with scoring criteria and associated information, and proposals. Members are given sufficient time (2 -5 days) to review proposals prior to the TEC meeting.</p> <p>TEC meets to discuss and score proposals as a group (not as individual members).</p> <p>PML enters scores into the scoring template for review and agreement by all committee members.</p> <p>Documents and Templates</p> <ul style="list-style-type: none"> • Proposal Scoring Instructions and Scoring Template • Proposal Evaluation Individual Score Sheet 	<p>PML writes selection justification memo with support of Review Committee members.</p> <p>Memo must be clear and concise to ensure understanding by potential auditors. It presents Jalin’s argument for selecting the proposal/partner.</p> <p>Memo should closely follow the standard template.</p> <p>Documents and Templates Selection Justification Memo to File</p>

Preparing Proposals for Approval



Step 1: Prepare Activity and Deliverable Statements

Designing a final SOW takes time and energy. To ensure the PML can begin budget negotiations, the **Activity and Deliverable Statements** must be written quickly. The budget reflects the activities; activities statements must be as specific as possible, and include all assumptions.

Documents and Templates

Grant SOW templates; Grant SOW Guidelines; Grant Quality Assessment Guide; Annual Work Plan; MERLA Plan

Main role in budget negotiations

Ensure that the PML and the vendor create a budget that is responsive to the SOW. If budget line items, units or costs stray from the SOW, the Technical Lead must work with the PML to communicate technical reasons for budget adjustments to the vendor.

Final Review

- Is the milestone (deliverables) delivery schedule reasonable?
- Does the budget contain sufficient funds and human resources to complete all activities and produce all deliverables as presented in the SOW?
- Is the payment schedule reasonable? Will it provide funding needed to support activity implementation?
- Are all SOW items and budgeted costs properly included and consistent?

Documents and Templates

Grant Proposal Approval Request template

Step 2: Define Budget Template

The SOW is used to define a budget that is used by the vendor as a "basis of estimate." The template provided in the RFA/APS must closely align with the SOW, and should not assume any costs upfront. The vendor should do the work of developing the cost structure and justifications for each activity.

Documents and Templates

None

Main role in budget negotiations

Provide cost and quality control in the budget process. PML must know approximate prices for all ODCs, and have strong sense of costs for proposed staff positions. Ensure vendors have sound, reasonable justifications for all units and costs. The PML must ask the question "why" for every line item, and be skeptical when necessary.

Annex 2. Grant Types & Applicable Conditions

The USAID Automated Directives System (ADS) provides guidance on policies and operating procedures, delegations of authority for conducting USAID business and references for other applicable United States Government (USG) regulations. Jalin ensures that grant awards are consistent with these USAID rules and regulations, including 2 Code of Federal Regulations (CFR) 200, 2 CFR 700, and the ADS Part 302.3.5.6 and 303, to the extent that it is relevant to such grants, and that budget items are allowable costs as defined by the applicable cost principles and regulations. All grants shall comply with Section C.7 of the Jalin contract and ADS 302.3.4.13, including:

- The total value of an individual grant to a U.S. organization will not exceed \$100,000;
- USAID shall retain the right to terminate grant awards unilaterally in extraordinary circumstances; and
- USAID shall establish selection criteria for and approve grant awards. Jalin will coordinate with the Contracting Officer's Representative (COR) in establishing selection criteria, if instructed to do so by the CO.

Jalin shall include all required provisions and requirements in all grants awarded under this contract, including, but not limited to, the Standard Provisions for Grants to Non-U.S. Organizations and U.S. Organizations, as required by ADS 303.

A. Grants to non-U.S. Non-Governmental Organizations

The requirements for issuing awards to non-U.S. NGOs are contained in several applicable federal regulations and USAID administrative standards, including:

- Standard Provisions for Non-U.S. Non-Governmental Grantees, including Mandatory and Required As Applicable Standard Provisions for Non-U.S. Non-Governmental Grantees (see <http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>);
- ADS 303; (<http://www.usaid.gov/sites/default/files/documents/1868/303.pdf>); And 302.3.4.13 Grants Under Contracts (GUCs) <http://www.usaid.gov/sites/default/files/documents/1868/302.pdf>;
- 2 CFR 200, (https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl); and
- Certifications, Assurances, Other Statements of the Grantee and Solicitation Standard Provisions – Mandatory Reference to ADS Chapter 303 (as applicable) (<http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>).

A.1 Simplified Grant

Overview

Jalin will issue Simplified Grants only when the following conditions are satisfied by non-U.S. NGOs (per ADS Chapter 303.3.24):

- All costs associated with the grant are clearly identified in the grant text and do not include international airfares or indirect costs (see note below for exceptions to airfare restrictions);
- Any goods to be purchased by Grantees are authorized pursuant to 22 CFR 228, ADS 310, 311 or any applicable waivers. Goods must meet the rules governing local cost financing and geographic code, and shall not include ineligible or restricted goods, and no single item having a useful life of over one year and an acquisition cost of \$5,000 or more shall be purchased (see note below for exceptions to the non-expendable property restrictions);
- The grant includes language requiring the Grantee to allow Jalin access to its records for up to three years after the end date of the grant, and that the Grantee will refund to Jalin any funds it received for any costs that did not meet the terms and conditions of the grant;
- The Grantee signs applicable certifications listed in ADS 303.3.8;
- The Grantee receives payments on a reimbursement basis (i.e. no advances are allowed);

- The Grantee demonstrates adequate financial management capacity to be able to separately track all costs associated with the grant as expenses are cost reimbursable based on receipts;
- The Grantee does not have a negotiated indirect rate agreement with a U.S. Government Agency; and
- The grant includes any audit requirements pursuant to 2 CFR 200 Subpart F and ADS 591.3.2.

In exceptional cases, Jalin may issue or modify a Simplified Grant to include support for international travel or the purchase of equipment if prior Contracting Officer's (CO) approval is obtained and all applicable standard provisions are attached to the grant award.

Disbursement

Simplified Grants are cost reimbursable agreements whereby Jalin reimburses costs incurred only after review and approval of receipts showing actual expenditures. Payments will be structured so that there is no possibility of the Grantee expending less than the amount received. Grantees may not receive more than 90% of the total budget amount prior to submission of the Final Grant Report—including finance and accounting details—and any other required documents. Final reimbursements will be issued only after all required reporting documents and deliverables are reviewed and approved by Jalin. When required, advances may also be provided.

A.2 Standard Grant

Overview

Standard Grants allow for advances and require detailed monitoring of actual costs incurred. As part of financial reporting, all receipts and invoices must be submitted to Jalin for reconciliation. It is therefore required that Grantees demonstrate sufficient financial management capacity—human resources, systems, and procedures—before Jalin can award this type of grant.

Guidance for issuing Standard Grants is contained in the following documents, the first two of which will be included in all Jalin Standard Grant Awards:

- Mandatory Standard Provisions for non-U.S., Non-Governmental Recipients;
- Required as Applicable Standard Provisions for non-U.S., Non-Governmental Recipients.
- ADS 303; and
- Section 2 CFR 200 Subpart D, in particular 200.300 through 200.309.

Disbursement

For Standard Grants, Jalin may advance funds to cover projected costs. The period covered by the advance is to be determined based on the Grantee's need and may cover anywhere from one month to three months of anticipated expenses. Beginning with month two, Grantees are reimbursed for actual activities costs incurred once they submit complete and accurate documentation, including a financial report that is reviewed and approved by Jalin. The schedule of reimbursements is negotiated with the Grantee before an award is issued. Under no circumstances are reimbursements scheduled more frequently than once a month. Also, under no circumstances will Grantees be reimbursed for more than 90% of the total grant amount prior to submission, and Jalin review and approval, of the Final Grant Report, Final Financial Report, and any other required documents or certifications.

A.3 In-kind Grant

Under In-kind grants, goods and services will be procured directly by Jalin. Jalin will work closely with the Grantee throughout the procurement process to ensure maximum knowledge transfer. Once purchased, goods and services are delivered immediately by Jalin to the Grantee or to the grant activity. All In-kind procurement undertaken by Jalin will be in accordance with USAID's procurement regulations. The Grantee is required to use and conserve goods (property) for the purposes specified in the Grant Award

that reflect the Standard Provision: “Title to and Use of Property (December 2014).”¹¹ DAI will request CO approval for the procurement and immediate disposition of all in-kind non-expendable (NXP) procurement. The provisions are found in ADS 303, Internal Mandatory References, Standard Provisions for Non-U.S. Non-governmental Recipients under Required as Applicable Standard Provisions (<http://www.usaid.gov/policy/ads/300/303mab.pdf>).

In-kind Grant Award format is as follows:

- a. Award letter
- b. Program Description with List of Items (Equipment/Materials or Services) to Be Provided In-Kind
- c. Program Budget
- d. Reporting Requirements
- e. Method of Payment
- f. Branding and Marking Plan
- g. Certifications, Assurances, Other Statements of the Recipient
- h. Standard Mandatory Provisions and Applicable Provisions on Title to and Use of Property

A.4 Fixed Amount Award

According to ADS 303.3.25, issuing Fixed Amount Awards (FAA) are appropriate when there are very specific activities with clear milestones for which, prior to award, Jalin can determine accurate and reasonable cost estimates. FAAs remove the need for Jalin to monitor expenditures, accounting procedures and financial management, writ large, if awards comply with the FAA Entity Eligibility requirements per ADS 303.3.25(a)(3) and sufficient cost information is provided to ensure that the Project does not pay more than the reasonable value for the completion of the grant.

All disbursements under FAAs will be made upon the submission of evidence—such as a work plan, technical or financial report, meeting notes, and arrangement of specified coordination. Because payments under FAAs are based on the achievement of milestones, the structure of the payments is very important. On submission of the final voucher for payment of the final milestone, the Grantee must certify that the grant is completed and the Grantee will make no further claim against the grant.

For FAAs the following conditions apply:

- The award complies with the conditions for fixed amount awards found at 2CFR 200.201;
- The assistance instrument is a grant, not a cooperative agreement;
- Jalin complies with the requirements of ADS 303mak, Fixed Amount Award Entity Eligibility Checklist, including ensuring that the recipient has signed pre-award certifications, as specified in ADS 303.3.8;
- The prospective recipient and Jalin can identify and quantify programmatic accomplishments or results in establishing grant milestones. For further guidance, see ADS 303saj, Fixed Amount Awards to Non-Governmental Organizations;

¹¹ The provisions are found in ADS 303, Internal Mandatory References, Standard Provisions for non-U.S. Non-Governmental Recipients under Required as Applicable Standard Provisions (<http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>).

- Jalin assesses the risk factors that could prevent the proposed recipient from completing the activity or require a substantial change in the milestones. Jalin should not use the FAA mechanism if there is an unacceptably high risk of failure or substantial changes in the milestones are expected as the recipient implements its program. Jalin must document the risk assessment and may use the guidance in Fixed Amount Awards to Non-governmental Organizations;
- Adequate cost information is available to allow Jalin to determine and negotiate the fixed amount of the grant and payment structure. The fixed amount should include all reasonable costs as determined by Jalin. For further guidance concerning the cost information required and payment structuring, see Fixed Amount Awards to Non-governmental Organizations and the FAA Entity Eligibility Checklist;
- Jalin documents the rationale for selecting the FAA mechanism;
- The duration of the FAA does not exceed three years; and
- The FAA does not include the purchase of real property.

A.5 Grants to Local Government

Normally, USAID implements large grants to cooperating country governments within the framework of a Strategic Objective Grant Agreement (SOGA). On rare occasions, and only with the prior written authorization of the USAID/Indonesia Contracting Officer, grants may be awarded to government units. Such grants may be for training or provision of equipment, or technical assistance. The implementation of such a grant will follow the same procedures as other In-kind grants described in this manual.

Below are additional requirements for exceptional cases where USAID/Indonesia authorizes other grant types (involving the transfer of funds) to be provided to Partner Government Entities. Note that these requirements do not apply to in-kind grants to non-government partners.

1. USAID/Indonesia CO approval will be in accordance with ADS 302.3.4.13(b)
2. Award Amount Thresholds

Partner Government Entities: The total value of all GUCs that provide funds (as opposed to in-kind assistance) to a particular partner government entity (for example, ministry, municipality, district, etc.) must not exceed \$300,000 for the duration of the prime contract.

3. Partner Government Entities. For grants that provide funds to partner government entities, Jalin must:
 - Incorporate into the grant all required terms and conditions from the prime contract award specifically relating to GUCs, and those regarding audit, monitoring and oversight by the prime recipient. This is not subject to deviation.
 - The grant must include language that captures the audit, monitoring, reporting, and oversight requirements in the recipient's award. This is not subject to deviation. The grant must also include the appropriate flow-down requirements from the prime award.
4. USAID must retain within the contract the ability to terminate the grant activities unilaterally in extraordinary circumstances.

A.6 Property

Jalin will ensure that all procured items are marked and used per Jalin policies and USAID regulations. All Grantees are required to use and maintain property for the purposes specified in the grant and in accordance with the [applicable Standard Provisions incorporated into their respective grants](#)

During grant implementation, Jalin will work with Grantees to complete an inventory [report \(including location and condition\) of all "Equipment" \(i.e. tangible, nonexpendable property having a useful life of more than one year, and an acquisition cost of \\$5,000 or more per unit\) procured under cost reimbursable grants, or as part of a milestone for fixed amount awards](#). No later than sixty (60) days before grant completion, Jalin will request written authorization from the USAID/Indonesia CO to formally dispose of all property procured before the completion of the Project.

Annex 3. Template – Grant Proposal

Grant Proposal / Grant Application Template

[insert title]

[insert organization name]

Organization Information:

Name:

Address:

Phone:

Fax:

Email:

Contact Person:

Title / Position:

Mobile Number:

Additional Contact Person(s):

Title / Position:

Mobile Number:

Proposal Title:

Proposal Date:

Period of Work:

Objectives

Expected Outcomes

[must be consistent with the Jalin objectives]

Summary

[insert narrative summary of project activities, outputs and expected impact.]

Background (of Jalin):

Justification

[why this activity? Why this Grantee?]

Partner

[insert partner profile]

Link with Jalin Results Framework.

This proposal with *[insert organization name]* supports achievement of Jalin Objective *[insert number]*, Expected Result *[insert number]*: *[insert ER statement]*.

Previous Jalin Grant Experience

[insert title, number period for previous grant awards with Jalin, if any]

Planned Activities

1. Within 7 days of award signature, hold meetings and draft a comprehensive work plan for the implementation of all contracted activities, including timelines, milestones and methods to gauge program output and impact. The plan will be designed in the context of the objectives stated in this proposal, and within the overall framework and goals of Jalin. Grantee will also prepare a document that presents methods to ensure accountability and transparency for each activity and associated expenditure. The plan and methods document will be approved by Jalin prior to implementation.
2. *[activity statement 2; include expected completion date]*
Justification: *[insert statement on why this activity is relevant and important to the overall success of the grant award]*
3. *[activity statement 3; include expected completion date]*
Justification: *[insert statement on why this activity is relevant and important to the overall success of the grant award]*
4. ...

Project Oversight and Monitoring

[Describe the role of partner and Jalin in terms of project oversight and monitoring, including monitoring activities or reporting if any]

Deliverables and Reporting Requirements

[insert organization name will be responsible for completing and submitting to Jalin the following deliverables and reports (Jalin will provide formats for all reports noted below):

1. One comprehensive work plan (format to be provided by Jalin).
2. *[deliverable statement 2; include expected completion date]*
3. *[deliverable statement 3; include expected completion date]*
4. ...
5. Final Grant Award Report (report format to be provided by Jalin)

[insert organization name] will communicate regularly during the implementation period with Jalin. Challenges and obstacles to implementation should be reported to Jalin immediately.

Deliverable (Outputs) Summary

Project	Male	Female	Total
Total			

Coordination

[insert statement on expectations regarding coordination with other organizations or individuals]

Branding and Marking

[insert organization name] will follow guidelines established by Jalin regarding the use of USAID and Jalin branding on all publications and at all events.

Detailed Delivery/Payment Schedule:

Activities will commence upon signature of the Grant Award. Please refer to the Deliverables and Reporting Requirements section for details on the estimated implementation schedule. All activities will end on *[insert date]*.

Deliverables	Due Date	Amount (IDR)
1.		
2.		
3.		
Total Price		

Budget: Attached

Annex 4. Form – Confidentiality and Disclosure of Relationships

The Jalin Project

Statement of Confidentiality and Disclosure of Relationships - Grants

The following applicants have submitted responses to [CHOOSE ONE: Request for Application/Annual Program Statement] [No. enter request number and activity name]:

1. NAME OF APPLICANT
2. NAME OF APPLICANT
3. NAME OF APPLICANT
4. NAME OF APPLICANT

I hereby agree to the following:

Confidentiality

1. I will use the response(s) provided by the above-listed applicants, as well as all information contained therein that is not otherwise available to the public without restriction, for evaluation purposes only. I will safeguard the response(s) and will not disclose them, or any information contained therein, except as directed or approved by the Jalin Program Management Lead (PML) or his/her designee.
2. Upon completing the evaluation, I will return all copies of the responses, and any abstracts thereof, to the Jalin office that initially furnished them to me.
3. Unless authorized by the Jalin PML in advance in writing, I will not at any time, whether before, during, or after the evaluation, contact any prospective applicants, or their employees, representatives, or agents, concerning any aspect of the responses received from such applicants.

Disclosure of Relationships

1. I have carefully reviewed my employment (past, present and under consideration) and financial interests, as well as those of my household family members. Based on this review, I certify, to the best of my knowledge and belief as of the date indicated below, that I either **(1) have no personal or organizational relationships that could affect my impartial and objective evaluation of the applications, or that might otherwise result in unfair bias to any bidders or offerors; or (2) have fully disclosed any and all such relationships to the Jalin PML, and will comply fully, subject to withdrawal of my evaluation services from this committee, with any instructions by the Jalin PML to mitigate, avoid, or neutralize the appearance of bias or favoritism.** I understand that I will also be under a continuing obligation to disclose, and I will act as instructed concerning any conflicting relationships discovered at any time prior to the completion of the evaluation.
2. I further certify that I have not shared any internal information that would have provided an unfair advantage to any one or more of the applicants, and that I was not involved with any applicants in the preparation of their applications including proposed cost information.

Name: _____

Title: _____

Signature: _____

Date: _____