



USAID
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AFRICA TRADE AND INVESTMENT (ATI) PROGRAM GRANTS MANUAL

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DATE 2021

Africa Trade and Investment Program

GRANTS UNDER CONTRACT MANUAL

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ACRONYMS AND ABBREVIATIONS

ADS	Automated Directives System
AGOA	Africa Growth and Opportunity Act
APS	Annual Program Statement
ATI	Africa Trade and Investment
BPA	Blanket purchase agreement
CFR	Code of Federal Regulations
CO	USAID Contracting Officer
COI	Conflict of interest
COP	Chief of Party
COR	Contracting Officer's Representative
DCOP	Deputy Chief of Party
EMMP	Environmental Mitigation and Monitoring Plan
ESMF	Environmental and Social Management Framework
FAA	Fixed Award Amount
FOD	Finance and Operations Director
FOM	Field Operations Manual
GIK	Grants in Kind
GMP	Grants Management Portal
GUC	Grants Under Contract
IQC	Indefinite Quantity Contract
JRE	Justification to Restrict Eligibility
MEL	Monitoring, Evaluation, and Learning
NGO	Non-governmental organization
NOFO	Notice of Funding Opportunity
NXP	Non-expendable property
PIEE	Programmatic Initial Environmental Examination
POP	Period of Performance
PPP	Public/Private Partnership
RFA	Request for applications
RFP	Request for proposals
SAM	System for Award Management
STTA	Short-term technical assistance
TA	Technical assistance
GMP	Technical and Administrative Management Information System
TIP	Trafficking in Persons
USAID	U.S. Agency for International Development

INTRODUCTION

This Grants Under Contract Manual (hereinafter referred to as the Grants Manual) contains DAI's policies, procedures, and approaches for implementing a grants program under the U.S. Agency for International Development (USAID) Africa Trade and Investment (ATI) Program Contract 7200AA21C00056.

The USAID Africa Trade and Investment (ATI) program is a five-year, flexible buy-in contract managed by USAID's Bureau for Africa Office of Sustainable Development (AFR/SD). As USAID's flagship effort under the Prosper Africa initiative and in line with USAID's Private Sector Engagement Policy, ATI will boost trade and increase investment to, from, and within the African continent. ATI works to achieve development outcomes across North and sub-Saharan Africa, by mobilizing enterprise-driven solutions and supporting healthy business climates.

Specifically it is expected ATI's interventions will be directed through four interrelated project objectives, all four will be informed by gender analyses to reduce gender gaps. Grants are expected to be used to fund interventions that primarily support objectives one and two :

- | | |
|--------------|---|
| Objective 1: | Increased trade |
| Objective 2: | Increased investment |
| Objective 3: | Improved business environment |
| Objective 4: | Programmatic and institutional support to USAID and the Prosper Africa Secretariat. |

Requirements which apply to USAID-executed grants apply to grants signed by DAI. Therefore, the Grants Manual is based on USAID Automated Directives System (ADS) 303, ADS 302, 2 Code of Federal Regulations (CFR) 200, 2 CFR 700 and other U.S. Government regulations and guidance. It has also been informed by the core principles of USAID's Effective Partnering and Procurement Reform, 2018 Acquisitions and Assistance Strategy, and New Partnership Initiative documents.

The Manual is intended to provide both policy and guidance for the administration of grants to private sector firms and organizations to promote trade and investment in Africa. This Manual does not intend to outline the policies and procedures for procurement of subcontracted services – these are outlined in Chapter 9.0 of the DAI Field Operations Manual (FOM). For guidance on whether an activity is more appropriately acquired through a grant or procurement, see ADS 304 and the ATI Subaward Selection Framework that outlines the differences and designing buy-ins that include likely award type that best matches the outcome or objective.

ATI staff must follow the grants policies and procedures provided herein. Revisions to this Manual may be approved, however, until a written revision is published, the prevailing version is in full force and effect, and compliance is not optional. It is everyone's responsibility to familiarize themselves with this manual, and it is, therefore, their responsibility individually to comply. The ATI Grants Director is responsible for providing training and providing clarification to this manual when needed.

All employees are encouraged to make suggestions that would improve the operational efficiency of ATI, with respect to grants management, and make suggestions to the Grants Director for consideration.

Any deviations from the policies or procedures contained in this manual require approval from the DAI Contracts Manager and the USAID Contracting Officer (CO) and any policy or procedure changes require approval from the DAI Contracts Manager and the USAID CO.

ACTIVITY OBJECTIVES

It is expected that ATI will primarily award performance-based grants that intend to support one of the above listed objectives. Grants are intended to respond flexibly to specific needs and opportunities. In most cases, the majority of the costs associated with the trade or investment grants can and should be borne by the benefitting private-sector partner with ATI funds used strategically to catalyze the trade or investment transaction.

Grants are intended to be used to support ATI's objectives to boost trade and increase investment to, from, and within the African continent. The following list of potential use cases, activities, or solutions funded through grants is not exhaustive, but rather illustrative. Not all transactions will be managed through grants – in some cases subcontracts, which are not covered in this Manual, may be used.

Increased Trade

- De-risk corporate opportunities to build out African supply chains
- Strategic/sector-level technical assistance to overcome transaction challenges
- Support commercial platforms that can disseminate actionable market intelligence and facilitate linkages to trade services (distribution, logistics, financial)
- Help U.S. companies do business in African markets and expand U.S. trade with Africa
- Use pay-for- results model to expand the use of trade service providers as a means to facilitate U.S.-African matchmaking (including intra-African trade, AGOA exports, U.S. technology/equipment deals)
- Support linkages among U.S. industry, State/Federal-level trade promotion agencies and African counterparts
- Build capacity of African trade facilitators and service providers to offer trade services, including market linkages, distribution, certification and financial
- Support African exporters, especially those exporting to the U.S., to meet export requirements
- Support new business and sourcing relationships
- Participation and support for events such as trade shows, conferences, roundtables, and roadshows, particularly those that result in new, constructive relationships between the business community and Prosper Africa stakeholders and African governments
- Support for research, data analytics, assessments and other reports, such as value chains analysis, gender analyses, country competitiveness, market landscapes, that can address trade and investment opportunities and impediments.

Increased Investment

- Identify, disseminate, and promote investment opportunities

- Transaction facilitation and deal structuring
- Catalytic funding to mobilize additional investment and/or de-risk for transaction opportunities
- Develop and increase uptake of financing solutions, including blended finance structures, trade finance mechanisms, deepening/strengthening financial markets and/or developing new product offerings
- Support to scale and/or replicate financial vehicles and/or investment products, especially those needed to reduce gender gaps and/or reach underserved markets/sectors
- Strengthen the capacity of investment intermediaries/facilitators/service providers, including improvements in their internal gender balance of staff, managers and officers.

Improved Business Environment

- Support transaction driven policy reform in partnership with think tanks, business associations, law firms, etc. based on feedback from stalled transactions
- Support strategic policy reforms to unlock future trade and investment opportunities in emerging sectors (e.g. digital trade, health services, government procurement, etc.)
- Address investment restrictions/barriers, intellectual property rights protection, regulation of the digital economy, customs/tariff or tax treatment, standards issues, product licensing and approval requirements, etc.
- Support more streamlined and transparent African government procurement processes that provide American companies with improved access to these government procurement opportunities
- Building the capacity of financial intermediaries, trade associations, and other key market actors to conduct evidence-based analysis and advocacy efforts
- Activities or grant interventions that are directly relevant to unlocking significant new investments and trade flows

APPROACH TO GRANT-MAKING

The grants fund will be motivated by the following four value-creating principles:

- Private Sector Driven
- Agile, Flexible and Efficient
- Evidence-based, driven by lessons learned from past programming
- Leverage available resources

Implementing the Grants Fund in accordance with ADS and the CFR is critical to its success, as is an appropriate communication and grants-making approach. To attract both the right applicants and the right partners, ATI cannot be communicated using the language of a traditional grants program, which could create the perception that it functions as such. Instead, it needs to speak the language of the private sector. Thus, our approach to grant-making through the Fund includes the following key features:

- Treating grants as “co-investments” with private sector actors expected to share in the risk of funding the concept or activities;
- Establishing performance-based milestones whenever possible;
- Funding grant “investments” that have commercial potential beyond the life of the grant and that grantees will be able to bring to the next stage of growth without further donor assistance;
- Using terminology that the private sector is more accustomed to, for example “Trade and Investment Funding Opportunities” instead of Annual Program Statement (APS);
- Pairing grants with needed capacity building or technical assistance to increase the likelihood that the concepts we invest in are sound and achieve scale and intended impact;
- Employing transparency and encouraging competition in the award process;
- Using processes (e.g. simplified applications) and system interfaces (application portals) that can be easily understood and accessed by the applicants;
- Employing a co-design/partnership approach that stresses long-term relationships between ATI and potential grant recipients, and helps build the larger ecosystem
- Leverage grant activities and/or investments with other stakeholders, partners or actors to maximize USAID investments.
- Consider proposals received in response to procurement solicitations as a secondary potential source of grant concepts and refer private sector companies responding to RFPs to submit their concepts/applications through a NOFO, where appropriate.

When designing funding opportunities, DAI will take into account all options and elements of grant design that help achieve the most likely success in our objectives – a few of the major components of this design approach are illustrated in the below Figure #1. DAI recognizes that there is no single approach that will suit all grantees and concepts, each grant will be designed using a combination of available tools and components that make it fit for purpose – not just for the activity, but for the grantee and broader market as well.

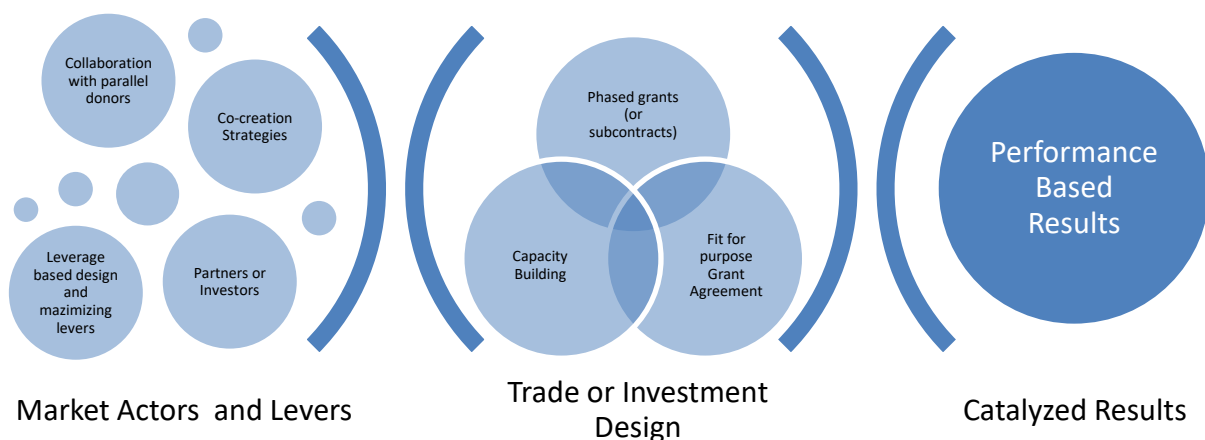


EXHIBIT 1: GRANT DESIGN COMPONENTS

Co-Design Approach. Based on both DAI’s and USAID’s best practices and lessons learned for financing development initiatives and investments, the ATI team will apply a co-design approach to grant design, where practical. This approach generates a stronger sense of ownership, decision-making, and commitment among our partners, which contributes to a higher rate of success, smarter allocation of resources, and increased leveraged funding. This co-design process also will help ATI staff better understand the problem in the country, industry, and market and develop options to address them.

Co-design and encouraging competition are not mutually exclusive approaches – but rather they can complement each other and result in a stronger quality grant agreement. In some cases, eligibility to respond to funding opportunities may be restricted for programmatic purposes. Below is a list of illustrative approaches or mechanisms for co-creation and collaboration with the private sector, intermediaries, partners, USG interagency, USAID Bureaus, Missions and Mission Deal teams, and local stakeholders including but not limited to host country government or quasi-government entities. Other techniques may be deployed by the ATI team as new innovative ways of connecting, catalyzing and innovating trade and investment are identified through learning and experimentation. Co-creation does not always mean that DAI will co-create with a specific grantee, but rather it can happen prior to the release of a NOFO whereby a small or large group of industry, geographic, investor groups or focused actors are brought together to brainstorm, improve, and/or strategize on ways to improve, catalyze, and/or pressure test the objectives, scope, eligibility, leverage, stakeholder commitments, and/or comprehensive approach..

- Notification of Funding Opportunity (NOFO), either as one or many Annual Program Statement (APS) or Request for Application (RFA).
- Oral Applications
- Draft Scope of Work/Draft Program Description
- Challenges/Ventures/Prizes*
- Open-Sourcing Request for Information (RFI)
- Sources Sought Notice
- Pay for Results
- Industry or Partnering Days
- Pre-or DRAFT NOFO Notice
- Request for Concept Papers
- Expressions of Interest
- Pre-solicitation Conferences

**prize grants are limited to covering costs of an intervention and grantees can not profit from these prize funds.*

While DAI is committed to deploying a co-design approach for ATI, it is important to ensure that we do not create an unfair competitive advantage to any entity. Therefore, DAI is committed to ensuring that potential grantees have equal access to equal information—such as the selection criteria that will be used to evaluate all concept notes and grant applications. Similarly, DAI will ensure that NOFOs are written in a way that do not unfairly benefit any one partner who participated in co-creation workshops or learning sessions.

At the conclusion of a co-design process, for those concepts or investments that ATI agrees to support, ATI may document the agreed-upon “path” it will take to catalyze trade or investment where appropriate.

CAPACITY BUILDING

Some of the ATI-funded grantees will be provided with capacity building and business acceleration support services to foster change, increase the chances for additional leverage, strengthen quality of

performance based results, compensate for an identified weakness, and incentivize sustainable improvement.

During the Trade or Investment Design phase (which includes taking elements from Grantee Due Diligence/Capacity Assessment), each potential grantee initially will be screened for whether they require a capacity building plan and/or business acceleration services. Some grantees—particularly the large off-takers—may already be operating at a high capacity with well-defined growth objectives and resources in place to support them and may need very limited capacity building. However, other organizations, including emerging agribusinesses or start-ups, may require more comprehensive support.

Once an organization is identified as needing Capacity Building, the Grants Team will then conduct a thorough organizational capability assessment to assess the services needed for the grantee to comply with the grant requirements, as well as services needed to accelerate the grant objectives, results, and opportunities to scale. As a result of this assessment, the Grants Team will work with the grantee to develop a Capacity Building workplan with milestones that are timed in synch with the grant planned activities or milestones. Capacity building may be provided in a group format or on a one-on-one environment, depending on the nature of the capacity building and if the area of needed development could encourage or jeopardize competition. Capacity building could also be provided as part of the pre-NOFO phases, as part of a co-creation workshop, partnering event, or information sharing opportunity – such as application development. This approach can create economies of scale by offering training sessions on needed topics to a group/cohort of grantees. Illustrative topics of capacity-building and acceleration services include the following:

Organizational Capacity Building, such as:

- Concept development
- Activity management
- Financial management, accounting, and recordkeeping
- Budgeting
- Performance monitoring
- Marketing and pricing strategies
- Sales force and customer service focus
- Procurement, asset, and inventory management
- Business and strategic planning

Acceleration services, such as:

- Pricing strategies
- Product development assistance
- Market research
- Unique selling proposition development
- Investor identification and fundraising support
- Capital improvement planning
- Operations and maintenance
- Financial analysis and reporting
- Export management and best practices
- Blended or alternative financing strategies
- Climate adaptation and mitigation measures
- Sanitary and phytosanitary standards (SPSS)
- Communication plans, focusing on behavior changes
- Mobile tools and digital applications
- Maker-model approaches

Capacity building may be provided by ATI staff, consultants, and service providers throughout the grant cycle, particularly during the co-design process, to ensure that the potential grantees are set up for success. When selecting service providers, we will endeavor to prioritize engagement with local

partners, thereby creating potential service connections between businesses and providers and, consequently, grow the business services market. As much as practical, the grantee will be given the opportunity to select service providers, where multiple service providers are available and relatively the same services at the same price are offered.

Approach to Learning

The ATI Grants team, in partnership with USAID and Deal teams, will place a heightened emphasis on learning from experiences and activities that can be shared throughout the continent. These efforts must contribute to the scaling up of practices across the continent.

Commitment to Gender, Youth, and the Environment

DAI, when using the Grants Funds, will ensure implementation of sound environmental policies, including, as applicable, conducting environmental due diligence, working with exporters and investors to promote cleaner, more equitable production practices, adherence with and development of activity specific, and as required by U.S. and host country regulations environmental assessments for specific areas of engagement. The Environmental and Social Management Framework (ESMF) will promote sustainable growth while protecting the environment, both social and physical.

A Programmatic Initial Environmental Examination (PIEE) has been approved for ATI's Scope of Work. The PIEE covers activities expected to be implemented under this award. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. DAI, and its grantees, will be responsible for implementing all PIEE conditions pertaining to activities to be funded under this award. If/when the PIEE is updated with any modifications, compliance with these modifications is also a DAI responsibility and commitment. If DAI identifies grant concepts or plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval.

Grant designs (outlined in NOFOs) will be informed by gender analyses to reduce gender gaps and develop strategies to target marginalized communities, both socially and economically, including women, youth and persons with disabilities. This may also be addressed as a specific need during a co-creation session. Illustratively, this may look like sourcing, prioritizing, and/or restricting eligibility to grantees whose application will promote the creation of female jobs or senior leadership roles, address regulatory constraints faced by women, or deploy gender lens investing or traditional investment approaches that would benefit women equally. In some instances, vetted scorecards or tools that screen for gender-focused activities may be used to prioritize applications most likely to generate positive gender-related outcomes. ATI's grants funding NOFOs and/or selection criteria may also be shaped by youth-related priorities as appropriate to ensure that trade and investment activities that benefit youth are clearly identified and supported. In particular, this may include activities that create employment opportunities for youth.

UNDERSTANDING THE GRANTS MANUAL

This Grants Manual will be maintained in the ATI Field Operations Manual (FOM)—an online set of DAI’s comprehensive and interrelated policies and procedures including Finance, Procurement, Grants, Security, etc. As a result, the format of the Grants Manual as presented here is organized according to the structure of the FOM. It consists of an overall grants policy and three supporting procedures:

POLICY 12: GOVERNING POLICY ON MANAGEMENT AND IMPLEMENTATION OF GRANTS



For the purposes of this submission, only policies and procedures are provided – forms and work instructions are administrative tools used to ensure compliance with the policy and procedure. A full list of Work Instructions and Forms are provided as reference. The Grants Manual is effectively a chapter excerpt from a larger document, and therefore includes references to other chapters in the FOM such as the Chapter 9 for Procurement Management. The corresponding hyperlinks will work for internal project staff using the FOM system in the DAI TAMIS.

Upon approval the Grants Manual will rest in Chapter 12 of the project’s policies and procedures—rather than as a standalone document. DAI will ensure that the manual and any modifications to it are maximally accessible to ATI staff, and that version control is strictly enforced and documented.

Each grant phase includes a series of steps and requirements that must be completed in order to take the next step, and our systems include standardized workflow processes, approvals, and internal controls to ensure compliance, quality, and completeness of the grant development process. Roles and responsibilities for each step are outlined in the relevant procedures. (See [Grant Management Procedures](#) below.)

TYPES OF GRANTS

The Grants Fund will use four main types of grants: Fixed Amount Award (FAA), Standard, Simplified, and In-Kind (GIK), which may be supported with a variety of tools and conditions that strengthen or catalyze each trade and investment opportunity.

Grant values may be limited by the type of grant most appropriate for the enterprise it intends to fund—for example, a simplified grant may not exceed the Simplified Acquisition Threshold [REDACTED], and U.S. organizations (not-for-profits or for-profits) may not receive grant funding above the Simplified Acquisition Threshold under any grant type..

Grants shall be categorized based on the type of grant and the value, which is dependent on U.S. or Non-U.S. organization status. The value categories are shown in Exhibit 2:

EXHIBIT 2: GRANT CATEGORIES BY VALUE (\$)

INVESTMENT SCALE	AMOUNT	POSSIBLE TYPE
[REDACTED]	[REDACTED]	[REDACTED]

Phased or anticipated grant awards structured using a performance-based model will ensure the grantee reaches, achieves, or delivers on a particular commitment before being awarded or obligated further funds. This performance-based model can include a variety of approaches including the following:

- One or multiple milestone-based, performance-based grants
- Phased or incremental multiple grant awards
- A combination of a performance-based grant with a Grant in Kind.
- Special Conditions (these must be reached and amended out of the grant before being granted further funding)
- Explore potential options for recovery of grants, where allowable – for example through disposition of program income, cost share, and/or or grantee contributions.

All performance shall be verified and documented by both the grantee and a DAI staff member before further grant funds, obligation, or release of special conditions can be awarded.

The selection of the type of grant will not be made purely on the basis of dollar values, but rather on three primary factors: (a) the relative maturity and capacity of the organization to manage the funds; (b) how the grant fits into the phased performance-based approach; and (c) the goals/structure of the grant activities and how ATI staff can best monitor them. Where practical, grants may be structured in phased/incremental funding and/or with performance-based fees with payment linked to specific outcomes, targets, deliverables, or outputs—in which case FAA with milestones are preferred.

Annexed to this Grants Manual, contained in the Field Operations Manual Work Instruction 12.1 is a list of grant types, describing the different elements, applicable provisions, limitations, and appropriate uses of each type.

LEVERAGE, COST SHARE, AND PROGRAM INCOME

ATI will include the option for leveraged funds, where appropriate or responsive, as part of its design for catalyzation. This leverage can be accomplished through a variety of sources, including but not limited to third-party private equity investments, public-private partnerships (PPPs), other donor funding, cost share (cash or in-kind), investments made by financial institutions, and/or a pipeline of new clients, thus expanding the capacity of partners.

Grants may be structured, timely, quantified, and, whenever possible, used in combination with and to leverage other financial resources and/or incentives, including cost-sharing with grantee funds and in-kind contributions. ATI will track all matching funds, leveraged cash, and in-kind contributions under each grant and include the amount in its reporting to USAID.

The use of leveraged funds, anticipated cost share, and/or use of program income also may be outlined in a Partnership Agreement or Memorandum of Understanding for parties adjacent to the grantee. While most of the in-depth requirements and uses of these types of leveraged funds are outlined in DAI Work Instruction 12.16 and 12.18 – excerpts are provided here because leveraged funds may be significantly used in grant designs.

EXHIBIT 3: DEFINITIONS OF LEVERAGE, COST SHARE, AND PROGRAM INCOME

Leverage	<ul style="list-style-type: none">•Leverage Resources that a non-traditional USAID partner brings to a PPP, i.e., the portion not being borne by USAID. These non-traditional resource partners typically are NOT receiving USAID funds. It can be a variety of forms, i.e., anything of value that is measured, including financial contributions, third-party contributions, donated services or property, or intellectual property. Leverage is not auditable.
Cost Share	<ul style="list-style-type: none">•Cost share or "matching" refers to the resources a recipient contributes to the total cost of an agreement. It becomes a condition of an award when it is part of the approved award budget. It is verifiable from the recipient's records and is therefore auditable. Includes all cash and in-kind contributions from the recipient or third parties.
Program Income	<ul style="list-style-type: none">•Program Income refers to the gross income earned by the recipient that is directly generated by an activity supported under an assistance award, or earned as a result of the award.

COST SHARE CONTRIBUTION/MATCHING

Cost share may be contributions, outlined in the grant agreement, from the beneficiaries, grantee, or other third parties. There is no set formula for determining cost sharing. When used, its application should be flexible, case-specific, and used to support or contribute to the achievement of results. Several factors shall be taken into consideration when making cost share decisions. For example, it might be difficult for a recipient to meet a cost share requirement during an activity with a short timeframe. A specific program may be risky, which discourages potential recipients from providing meaningful contributions. Eligibility may be limited to indigenous organizations with limited resources.

Cost sharing cannot be used as a separate factor during the merit review of applications, because excessive reliance on cost sharing during the merit review may unfairly favor larger, better-funded organizations and may discourage new market entrants or innovators. In accordance with 2 CFR 200.307, program income may be used to finance the required cost-share portion of the grant award, see “Cost sharing or matching” option listed below.

In accordance with ADS 303.3.10: The cost share must be verifiable from the recipient’s records; for U.S. organizations it is subject to the requirements of 2 CFR 200.306, and for standard grants to non-U.S. organizations it is subject to the Standard Provision, “Cost Share”; and can be audited. For FAA Grants – leverage (in the like form of grantee contribution) may be an option for structuring equivalent goals; as per Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations (303mat_033121) there are no provisions for Cost Share.

Further guidance on cost sharing can be found in DAI FOM Work Instruction 12.16: Determining Cost Share for Grants, as well as an updates to:

- ADS 303.3.5.3. Solicitation Format
- ADS 303.3.10 Cost Share (including cost-sharing requirements)
- ADS 303.3.12 Negotiation of the Award
- ADS 303.3.18 Award Administration
- 2 CFR 200.306 Cost sharing or matching
- 2 CFR 700.10 Cost sharing or matching

PROGRAM INCOME

Program income typically is defined as income earned by the grantee that is directly generated by a supported grant activity or earned as a result 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 includes, but is not limited to:

- come from fees for services performed;
- the use or rental of real or personal property acquired under the grant awards;
- the sale of commodities or items fabricated under an award;
- license fees and royalties on patents and copyrights;
- Payments of principal and interest on loans made with grant funds

Note: Interest earned on advances of Federal funds is not program income.

Program income earned during a grant period of performance may be used as follows:

1. **Deduction.** Ordinarily program income must be deducted from total allowable costs to determine the net allowable costs. Program income must be used for current costs unless the CO authorizes otherwise. Program income that the Grantee did not anticipate at the time of the grant award must be used to reduce the grant award and Grantee contributions rather than to increase the funds committed to the project.
2. **Addition.** With prior approval of CO, program income may be added to the grant award. The program income must be used for the purposes and under the conditions of the grant

award. Note: the additive approach can help promote the sustainability of an award and provide greater value for U.S. taxpayers without additional funding from USAID.

3. **Cost sharing or matching.** With prior approval of the CO, program income may be used to meet the cost sharing or matching requirement of the grant. In this case, the amount of the grant award remains the same.

Income earned during the implementation of a grant shall be added to the grant award and be used for the purposes and under the conditions of the award as per the prior approval of the CO with approval of this grants manual. ATI will request CO approval if it intends to adopt the Deduction or Cost Sharing approaches referenced in ADS 303.3.10.4. The Grantee will report to DAI any program income generated under the grant and the Grantee will agree to Contractor’s disposition of such program income which is in accordance with 2 CFR 200.307 and Standard Provisions for Non -U.S. Non-Government Organizations, and any revisions therein.

Further guidance on program income can be found in DAI FOM Work Instruction 12.18: Use and Disposition of Program Income, as well as updates to:

- ADS 303.3.5.3. Solicitation Format
- ADS 303.3.10 Cost Share (including cost-sharing requirements)
- ADS 303.3.18 Award Administration
- 2 CFR 200.307 Program Income

ELIGIBILITY OF GRANTEES

The following table outlines the types of grants and eligibility parameters for each potential grantee type for ease of reference related to eligibility of grantees.

EXHIBIT 4: GRANT ELIGIBILITY BY TYPE OF ORGANIZATION

TYPE OF ORGANIZATION	GIK	FAA	SIMPLIFIED	STANDARD
Non-U.S. NGO (non- and for-profit)	YES	YES	YES	YES
U.S. NGO*	YES	YES	YES	YES
Partner Government Entities	NO	NO	NO	NO

Given that ATI will be potentially announcing opportunities for funding targeting and competing grants amongst local, regional and international (including American) corporations and partners, DAI shall apply the following criteria (consistent with ADS 303.6) to determine the nationality of an organization, i.e. “local entity” means a corporation, a nonprofit organization, or another body of persons that—

- (1) is legally organized under the laws of;
 - (2) has as its principal place of business or operations in;
 - (3) is majority owned by individuals who are citizens or lawful permanent residents of; and
 - (4) managed by a governing body the majority of who are citizens or lawful permanent residents of a country receiving assistance from funds appropriated under title III of this Act.
- (c) For purposes of this section, “majority-owned” and “-managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised

or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means.

DAI uses a comprehensive organizational capability assessment questionnaire, unique to the anticipated type of grant award, to evaluate the organization's relative maturity. This questionnaire is more than just a checklist—it requires that the evaluator, typically the Grants Director (or a designated Grants Manager), and the grantee prove the existence, compliance, or evidence of the organization's stated capacity through sampling, demonstration, or sharing of documents. For example, an organization being considered for a standard grant will typically review 18 questions/check-in points, and for an FAA there are 15. These questions and check-in points range from general (records retention, authorities, etc.), to procurements, personnel, and financial systems. Each question is evaluated and must be demonstrated, and a score is provided. The total score helps DAI determine whether the organization is likely capable of managing this type of anticipated grant award, as illustrated in Exhibit 6.

EXHIBIT 5: ORGANIZATIONAL CAPABILITY ASSESSMENT SCORING RUBRIC

RESULTING DESIGNATION	DESCRIPTION OF DESIGNATION	GRANT TYPE RECOMMENDATIONS
Inadequate	The organization has no evidence nor control within the examined category.	It is recommended that awards should not be granted to an organization that is INADEQUATE.
Weak	Significant control weaknesses could expose the organization to unacceptable/inadequate levels of unmanaged risk; however, there is some evidence of control that must be worked on post award. There are some deficiencies and weaknesses that are not easily remediable before the award.	If a "weak" organization is otherwise found to be responsible and has a compelling technical proposal, DAI can use special award conditions that allow the organization to meet all of the minimum requirements during the award period. WEAK could mean GIK, simplified grants or smaller FAA are appropriate. Must introduce compensating controls (special conditions) for a simplified grant with advance funding to be approved.
Adequate	Although a control weakness was noted, compensating controls and other factors exist to reduce the residual risk within the organization to acceptable levels. (No deficiencies, weaknesses, if any are remediable before the award, or low to moderate risk.)	ADEQUATE could mean simplified grants or FAA are appropriate, and with compensating controls (special conditions), a simplified or standard grant might be approved.
Strong	Overall, a strong control framework is in place given the inherent business risks. Some improvements may be recommended to routine detailed control activities. (No deficiencies or somewhat low risk.)	Only organizations with a STRONG rating may be granted a standard grant with advance funds or a large FAA.

Publicly traded or regulatorily enforced (for example, SEC in the US, Capital Markets Authority in Kenya) companies may be granted a "STRONG" or "ADEQUATE" rating by virtue of providing evidence of previous and credible third-party diligence or enforcement. DAI may also consider status and results from third-party risk management tools and databases, to help streamline the vetting and due diligence process where possible.

DAI must evaluate the risks posed by applicants before making the award, in accordance with the principles established by USAID and the Office of Management and Budget (OMB) (see 2 CFR 200.205). The Grants team, and where needed the Finance team, will evaluate both risk and financial management capabilities during a Pre-Award Responsibility Determination.

The goal of the due diligence assessment is to help manage risk, not avoid it entirely – in fact every grant will likely have some element of risk, which is why weak, adequate and strong organizations may be eligible for a grant, with appropriate risk management strategies that include – compensating controls such as special award conditions and/or capacity building. DAI will review all risks, relative to their benefits, and will introduce value adding compensating controls where necessary – and approach each grant with its own risk-management perspective.

If the Grants staff determine that a grantee’s financial management capabilities are limited or deficient, they will classify them as high-risk organizations per ADS 303.3.9.2. The Grants Director will report the findings to the ATI COP with a recommendation not to make an award or to make a special award with the following conditions: 1) additional reporting, strengthening, or development as a compensating control and 2) providing capacity building and/or training to the grantee. This option may be used only for such a period of time until the potential recipient can correct any institutional deficiencies, but not for the life of the award.

ROLES AND RESPONSIBILITIES

Chief of Party (COP). The ATI COP is the legal representative of DAI for the ATI project. The COP is granted approval authority as per DAI's Schedule of Authorities. The COP is ultimately responsible for compliance with this Manual and that the team is adequately resourced and trained to ensure team compliance. Upon approval from USAID, the COP signs awards/the grant agreement. The COP is responsible for overall program and contract compliance.

Contracting Officer's Representative (COR). The COR is the USAID official responsible for administration and technical oversight of the ATI program. The COR also has an open invitation to attend the Investment Committee or to designate another USAID representative to attend on his/her behalf. The COR will be substantially involved in developing the grants criteria and providing concurrence to the CO for approval of individual awards.

Contracting Officer (CO). The CO is the official of USAID that maintains substantial involvement in the grant process by formally approving this Manual for use in the award and administration of grants under the ATI contract. The CO's approval is required for all GUCs. USAID approvals will be given in accordance with the Approvals table below.

Grants Director. The Grants Director oversees the Grant Fund. They operate under the direct supervision of the ATI Chief Financial Officer and oversees the quality and compliance of the Grants Managers. The Grants Director is responsible for the preparation and implementation of all grant activities from concept to award to closeout. They convene a selection committee for each solicitation, participates in Investment Committee evaluation meetings as a non-voting member, and, with the Grants Managers or their designee, conducts the pre-award responsibility determination. The Grants Director uses the Grants Manual for all grant procedures, assuring that the grants team does the same, and oversees the administration of funds.

Grants Manager(s). They will support the Grants Director in all of the functions above. They will serve as the main face of ATI to project beneficiaries and implementing partners and will be overseen by the Grants Director. The Grants Manager(s) may be a non-voting member of the Investment Committee. Technical approval of deliverables/reports will be the responsibility of the relevant Regional Directors overseeing the grant; however, the Grants Manager(s) will review for other aspects of compliance/performance. They review technical applications for responsiveness, evaluates the cost application for cost reasonableness, allocability, and allowability, drafts grant documents, manages and monitors the implementation of grants, ensures that high-risk grantees are provided with appropriate training to improve their financial and management capability, provides post-award briefings to newly awarded grantees, administers grants financially and administratively, maintains grant files, and ensures compliance with all Grants Manual policies and procedures and stays informed of updates to the ADS.

Chief Financial Officer (CFO). The CFO provides general oversight from the financial, operational, and administrative compliance perspective and will supervise the Grants Director and members of the project finance team to ensure business process consistency and compliance adherence and provide program-level financial management and accounting controls.

Accountant. S/he provides financial and accounting oversight under the guidance of the CFO. Upon grant award, the Accountant will be responsible for issuing advances and tranche payments once

approved by the Grants Manager and the relevant ATI Activity Manager. The Accountant will work closely with the Grants Director & Manager with regard to the pre-award responsibility of applicants.

Regional Directors. The Regional Director(s) will engage with Missions and stakeholders to address buy-in objective needs and outcomes, develop buy-in scopes of works and budgets including use of grant funds. Work with the Grants and MEL teams to design opportunities for grant co-creation and notifications of award, participate, where appropriate in the selection committees, and contribute to the technical monitoring and reporting of grant funds and outcomes.

Monitoring, Evaluation, and Learning (MEL) Director and team. The MEL Director, and their team, will work with the grantee to monitor the progress, success, and impact of the grantee's performance under this contract. All grantees will be subject to regular and periodic monitoring visits and reporting requirements.

STANDARD OF CONDUCT

DAI's systems and processes are only as nimble as the people who are using them. DAI places a high premium on ethics and compliance and the use of standardized, yet where appropriate, customized systems in support of the grant-making process. ATI will develop streamlined, focused forms that allow staff to quickly review, process, report on, and manage grants. Further, DAI has automated and standardized as much of the grants workflow as is possible, using DAI's standard templates and forms to support the production of all required memos, certifications, and agreements. Additionally, DAI's FOM, a resource embedded on each team member's computer, contains comprehensive information, templates, work instructions, and quick reference guides to guide the grant cycle.

DAI is dedicated to managing all grant activities with high standards with regards to the quality of products and services, performance expectations of our clients, the grantee, and the public. All personnel shall immediately report to the COP any unsafe conditions, safety incidents, or apparent fraud, conflicts of interest or bribery witnessed during the implementation of grants. DAI will provide information to its employees and grantees about how to report allegations or concerns to DAI's ethics hotline (ethics@dai.com, or www.dai.ethicspoint.com or 001-503-597-4328) as well as USAID's Office of the Inspector General (IGhotline@usaid.gov). DAI reports all credible evidence of fraud, bribery, kickbacks, conflicts of interest, human trafficking, sexual exploitation, abuse and harassment to USAID's Office of the Inspector, copying the Contracting Officer. DAI's Chief Ethics and Compliance Officer (CECO) is responsible for reporting these allegations on a timely basis. All persons managing grants shall be qualified on the basis of education, training, and/or experience. Appropriate records shall be kept. The Human Resources Officer will assess individual employees' training and experience against their responsibilities and authority and make appropriate decisions regarding the type of training that is warranted. No employee will be assigned tasks which require training or experience they have not yet received. Continuing training will be done via lunch training or day-long seminars, and through online courses. Less experienced staff will report to staff having experience in their assigned work element. Training may include, but is not limited to, the following topics:

- Grants Overview Training (one day, instructor led)
- Grants Applicability Training (one day, instructor led)
- Procurement and subcontract management (3.5 days, instructor led)

- Environmental Compliance (online training)
- Document Control and Record Keeping (webinar)
- Performance Monitoring (online training)
- GMP/TAMIS - Systems training (during start-up TAMIS and GMP customization)
- Ethics and Compliance Training (online training)

GRANT MANAGEMENT POLICIES

The ATI Grants team will develop and execute a grants program, in accordance with the requirements for Grants Under Contract (GUCs), as provided in ADS 302.3.4.13, and will adhere to the following policy requirements:

1. The project shall implement a grants under contract program only under the written authorization of USAID as stated in the contract or through a written modification of the contract.
2. Under United States (US) government agreements, DAI shall follow all applicable laws, statutes and regulations that govern the use of grants under contracts. Similarly, the project shall flow down to the grant agreements all mandatory standard provisions according to the type of grant and/or the recipient organization. DAI is not authorized to execute or administer cooperative agreements on USAID's behalf.
3. DAI ensures through compliance with these laws and regulations, that all costs are reasonable, allocable, and allowable, and the best use of US government and taxpayer funds.
4. USAID shall have substantial involvement in the establishment of selection criteria and shall approve the selection of grant recipients.
5. The COR and CO must approve the grant recipient selection, unless the CO delegates otherwise. DAI's grant approval request shall summarize the following major elements:
 - Grantee
 - Grant Type
 - Grant Amount
 - Leverage/Cost-Share, if applicable
 - Period of Performance
 - Summary of Grant Objectives
 - Summary of Selection Process
 - Milestones Table or program description
 - Summary of Cost/Price Reasonableness Determination
 - Notice of Funding Opportunity (NOFO)
6. USAID reserves the right to direct DAI to unilaterally terminate grants entered by DAI for the project activity.
7. Consistent with USAID's approach, DAI encourages unrestricted competition of grant awards by seeking applications from all eligible (as defined in the eligibility section above) and qualified (based in part on the organizational capacity assessment definitions outlined above) entities and evaluating all

applicants fairly and equally, unless there is a strong programmatic rationale to restrict eligibility that outweighs the benefits of a competitive process (see Work Instruction 12.6).

8. Upon signing a grant agreement with a recipient organization, the project recognizes that it is entering into a partnership for the attainment of mutually acceptable goals of the organization, DAI and the client. The project shall demonstrate respect for the recipient organization and ensure that the grant is administered in a fair and transparent manner.
9. DAI must comply in all material respects with USAID's Automated Directives System (ADS) 303 (including mandatory and supplementary references) in awarding and administering grants. Projects shall ensure that the most current mandatory provisions and certifications as per ADS 303 are included in all grant agreements.
10. Projects may include international travel or the purchase of equipment in grant budgets if the applicable standard provisions for those types of activities are attached to the grant award.
11. Advances may be authorized for some grantees so long as they meet those applicable standards as set forth in ADS 636, and 2 CFR 200 Subpart D, the applicable Standard Provisions, and the financial capability questionnaire. These advances are outlined in the grant agreement, and form part of the approval process of the grant by USAID. Grant Advances are allowable expenses only if tracked effectively in the monthly project snapshot and administered and reconciled in accordance with Work Instruction 12.15: Cash Disbursements for Grants.
12. All grants shall be fully consistent with the project's strategies and priorities. The project shall ensure adequate coordination with implementing partners and other donor-funded interventions to avoid duplication of effort and maximize potential effectiveness.
13. Grants shall be structured, timely, quantified, and, whenever possible, used in combination with and to leverage other financial resources, including possible cost-sharing with grantee funds and in-kind contributions. Additionally, grants:
 - May be awarded for variable amounts and for variable periods;
 - May be structured in phases, in combination with other grants, or supported by capacity building interventions;
 - May cover all or only a portion of specific activities or costs;
 - May be used to cover operational or administrative costs of an organization (such as salaries, honoraria, consulting fees, stipends, travel and per diem, data collection, analysis, communication and document preparation, workshops, conference participation, equipment, and other costs as may be approved).
14. All grants shall meet the following minimum criteria:
 - Grants may be awarded on a solicited basis.
 - Meet at least one of the 4 project objectives and principles noted in the Introduction Section of this Manual
 - Contain expected outcomes and results consistent with and linked to the project's objectives.

- Are designed with appropriate levels of leverage in most, but not all cases, as fit for purpose, i.e. that catalyze the intended trade or investment.

POLICIES GOVERNING GRANT SOLICITATION AND AWARD

15. It is DAI policy to require all grants to be awarded competitively unless an exception is authorized. The competition requirement is met when an announcement is published according to Procedures 12.2 outlined in this section. Recommendations for awards are made following an impartial review and evaluation of all applications.
16. It is DAI policy to ensure maximum competition by seeking applications from all eligible and qualified entities. Establishing a two or more-tiered level of competition (e.g. prequalification round) is in keeping with this policy, if applications are reviewed in a fair manner at each level. Competition may also be limited to local or regional organizations for appropriate projects.
17. FAR clause 52.203-16, Preventing Personal Conflicts of Interest, must be followed in the selection and award of grants.
18. Applications for grants shall fall into one of two categories:
 - Applications solicited through public notification for a specified program or support activity; and
 - Applications solicited directly from potential grantees (Non-Governmental Organizations (NGO)) for a specific activity.

Note: Concepts referred to ATI by USAID Missions, Embassy Deal Teams, private sector partners, and other project stakeholders shall be equally referred to an Annual Program Statement to submit their concepts. Once submitted through an Annual Program Statement, those concepts that USAID has recommended to show the most potential for impact shall be prioritized for review. Unsolicited applications shall be referred to an Annual Program Statement for submission.
19. All grants shall require some form of an application and will undergo a documented review and approval process. All grant solicitations and applications, whether funded or rejected, shall be retained on file.
20. DAI examines and documents any potential awardee to ensure that the organization has adequate management, financial and internal controls systems to ensure implementation of and compliance with their grant agreement.
21. The project screens all potential grant activities for potential environmental impacts and strives to incorporate gender issues as a cross-cutting theme in its grant program.

POLICIES GOVERNING GRANT AWARD MANAGEMENT

22. Grants under Contracts to non-governmental organizations are authorized under this contract. The contractor, when required in any task, may execute grants up to the Simplified Acquisition Threshold (SAT), [REDACTED], (unless a deviation is obtained to have this threshold

increased) with U.S. organizations (not-for-profits or for-profits), providing conditions in ADS 302.3.4.13 are met. For non-U.S. organizations there is no ceiling.

23. Once the Grant Manual is approved, grant agreements approvals are done so in compliance with the following approval authorities table:

EXHIBIT 6: APPROVAL AUTHORITIES TABLE

Grant Approval Types	APPROVE
Grantee Selection for all grant values, until/unless amended	As per DAI internal Project Schedule of Authorities And Contracting Officer Representative And Contracting Officer or until/ unless delegated
Price/cost amendments that increase the value by 10% or less.	As per DAI internal Project Schedule of Authorities Inform USAID COR and CO
Price/cost amendments that increase the value by more than 10%.	As per DAI internal Project Schedule of Authorities Contracting Officer Representative And Contracting Officer or until/ unless delegated
Amendments, that decrease the value of the award, including cost-share, leverage or grantee contribution, not to exceed 10%	As per DAI internal Project Schedule of Authorities Inform USAID COR and CO Any amounts more than 10% would require USAID CO approval
Budget realignments that are within 10% of cost categories do not need amendments.	As per DAI internal Project Schedule of Authorities Any amounts more than 10% would require USAID CO approval
Milestone due date extensions within period of performance	As per DAI internal Project Schedule of Authorities
Material scope of work changes	Contracting Officer Representative And Contracting Officer or until/ unless delegated
Changes to the Grants Manual Policies other than the incorporation of any future revisions to ADS 303, ADS 302, 2 CFR 200, 2 CFR 700, and other U.S. Government regulations and guidance	As per DAI internal Project Schedule of Authorities and USAID Contracting Officer

Changes to the Grants Manual Procedures and Grants Templates that are administrative in nature and/or strictly internal to DAI	Chief of Party and DAI Contracts Manager
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24. Projects shall customize each grant agreement template at the start of the grant program in collaboration with the DAI US Contracts Manager. The project may issue the following types of grants up to their respective maximum as outlined in the Work Instruction. Projects shall not modify or alter the approved grant templates, including mandatory provisions and certifications, without first consulting the DAI US Contracts Manager.
- Form 12.10: Fixed Amount Award Grant Template
 - Form 12.11: In-Kind Grant Template
 - Form 12.12: Standard Grant Template
 - Form 12.13: Simplified Grant Template
 - Form 12.17: Fixed Amount Award with In-Kind Grant Agreement Template
25. All grants awarded under the project’s grant program shall include the following standard clause: The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision shall be included in all sub-contracts/sub-awards issued under this subcontract/agreement.
26. It is USAID policy that English shall be the official language of all award documents. If an 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).
27. The project shall monitor the performance of each grantee and report to USAID on the achievement of grant outputs and/or milestones. The project shall maintain a file for each grant awarded.
28. The project shall comply with inventory management policies and procedures for procuring non-expendable and expendable items on behalf of grantees, or those purchased directly by the grantee under their grant agreement, which can be found in:
- FOM Policy 9.0: Governing Policy on Procurement and Inventory Management
 - FOM Procedure 9.6: Inventory Management
29. For work performed outside the US, ADS 303.3.32 Trafficking in Persons (TIP), shall be incorporated into sub-award agreements. Sub-awardees for agreements [REDACTED] must create a TIP compliance plan, certify it annually, and must receive materials and orientation appropriate for their level of capacity. A copy of all grantee TIP compliance plan certifications shall be maintained on file as per the Project Record Map.
- Form 3.15: Subcontractor TIP Compliance Plan Template

POLICIES GOVERNING GRANTS CLOSEOUT

30. DAI shall not award any grant for a period that extends beyond the estimated completion date of the project. All grants should be closed out no later than two months, ideally three, before the end date of the contract. The terms of all grants shall allow for an orderly close-out prior to the expiration date of DAI's contract. For instance, DAI must ensure sufficient time to complete grantee audits, sufficient time for the grantee to submit a final report, and sufficient time to complete a review of the grantee and provide a final report to the government before Contract close-out. Reporting requirements must be in accordance with Section F of the Contract.
31. For USAID funded projects, all interest and other refunds by award recipients hereunder shall be made to a special, non-commingled, interest-bearing account established by the project (Separate Account). The project has no beneficial interest in any funds in the Separate Account. Funds in the Separate Account shall be paid annually to USAID, as directed by the Contracting Officer's Representative (COR). At the end of the contract, any funds remaining in the Separate Account shall be returned to USAID and any interest shall be refunded to the U.S. Government.
32. DAI and the client /donor shall reserve the right to terminate a grant, in whole or part, or suspend payments, should the grantee become insolvent during the performance of the award or should the grantee not meet their responsibilities as set forth in the Grant Agreement.
33. USAID has the right to terminate the grant activity (activities) unilaterally in extraordinary circumstances.
34. USAID reserves the right to conduct financial reviews or audits, and to otherwise ensure the adequate accountability of organizations expending its funds. The project's grant files shall contain the essential documents to demonstrate that the grant was successfully completed, an inventory of all equipment and goods purchased under each grant, and that funds were spent prudently with all costs justified.
35. Pursuant to the Standard Provision entitled Accounting, Audit, and Records (October 2017), if the Grantee expends ██████████ in all USAID awards (either directly or through another USAID contractor or recipient) and excluding fixed price contracts and fixed amount awards federal grant funds in the Grantee's fiscal year, the Grantee shall conduct an annual audit; the cost of which may be paid from the grant. To comply with these guidelines, the project will, when necessary; include "audit costs" in the approved grant budget. The project may also retain the services of an auditing firm to conduct these audits.

GRANT MANAGEMENT PROCEDURES

PROCEDURE 12.1: SOLICITATION AND AWARD OF GRANTS



1. Purpose and Scope:

- 1.1. This procedure implements the policies related to the solicitation and award of grants as stated in Policy 12. Governing Policy on Grants Management.
- 1.2. This procedure describes the entire process for issuing application notifications, reviewing, and evaluating applications, and determining awards for grants.
- 1.3. The overall purpose is to ensure competition in the award of grants unless an exception is authorized and to fulfill any requirements as set forth by the client.

2. Roles and Responsibilities:

- 2.1. The Grants Staff are responsible for working with applicants from the application phase through grant award phase by documenting and processing the grants.
- 2.2. The Grants Manager(s), in collaboration with the Activity Manager, are responsible for overseeing the entire process, drafting and issuing the Notices of Funding Opportunity (NOFO) in the form of Request for Application (RFA) and/or Annual Program Statement (APS), ensuring documentation in Grants Management Portal (GMP) of all information for each grant, and submitting proposed grantees to the client if required and issuing the awards.
- 2.3. The Chief of Party (COP)/Senior Technical Director/Chief Financial Officer (CFO) is responsible for reviewing the draft NOFO for applicability to the program, reviewing of applications and ensuring that applications conform to project objectives.
- 2.4. The DAI US Contracts Administrator is responsible for approving final NOFO templates customized for each project and submitting requests for grant concurrence by the client when required. The DAI US Contracts Administrator shall approve grants per DAI's Schedule of Authorities (SOA).
- 2.5. The Chief of Party (COP) approves of grants as per the Project Schedule of Authorities (PSOA) and signs off on the final grant agreement and is responsible for ensuring compliance to this procedure and training for project staff.

3. Process:

Responsibility	Action
	Solicitation Process
Grants Manager	<ol style="list-style-type: none"> 1. Develop a NOFO (RFA or APS) in collaboration with the client based upon the project's needs <ul style="list-style-type: none"> • Work Instruction 12.3: Designing a Request for Applications • Work Instruction 12.4: Designing an Annual Program Statement • Work Instruction 12.5: Types of Applicants and Procedures • Work Instruction 12.6: Restrictions to Eligibility of Grants • Form 12.2: RFA Template attachment • Form 12.3: APS Template attachment 1.1 The NOFO must clearly indicate whether the funding opportunity is open to all entities.

Responsibility	Action
	<p>1.2 If eligibility is restricted, the NOFO must state the type of entities that are eligible and the rationale for why restriction of eligibility is considered necessary. Where preference is given for the review of concept notes due to their sourcing/references (i.e. those referred to from USAID) shall be disclosed in the NOFO.</p>
<p>COP/Senior Technical Director/CFO</p>	<p>2. Review and approve draft NOFO (RFA or APS)</p> <p>2.1 Submit to DAI US Project Team Lead for guidance or advice if the project is having difficulty designing the NOFO.</p> <p>2.2. Review Selection Criteria outlined in NOFO with COR.</p> <p>2.3. Submit to the client for review if the client requires input and/or consultation.</p>
<p>DAI US Contracts Administrator</p>	<p>3. Review final NOFO.</p>
<p>Grants Manager</p>	<p>4. Set up a Selection Committee for application review if the program requires multiple or consensual decision /review.</p> <ul style="list-style-type: none"> • Work Instruction 12.7: Setting Up Grant Selection Committees <p>5. Issue NOFO (RFA or APS) to the public through appropriate media channels (e.g. web site, radio, print advertisement). The project meets DAI 's competition policy for grants when an announcement is published. All NOFOs must be available for receipt of applications of a reasonable amount of time no less than 30 days unless there are exigent circumstances supported by a written determination. DAI should provide longer response periods for sizeable activities or more detailed applications used to ensure high quality applications.</p> <p>6. Set up a NOFO folder.</p> <ul style="list-style-type: none"> • Work Instruction 12.11: Grantee Documentation
Evaluation Process	
<p>Grants Staff</p>	<p>1. Receive and review applications by documenting the information in GMP.</p> <p>1.1. Enter all contact information and grants details as outlined on the form for each applicant.</p> <p>1.2. Check applicants in the System for Award Management (SAM) as indicated on the form.</p> <ul style="list-style-type: none"> • FOM Work Instruction 4.4: Excluded Parties Search <p>1.3. Log in the applications using the date they are received.</p> <p>1.4. Review the applications and all supporting materials for completeness as listed in NOFO.</p> <ul style="list-style-type: none"> • Work Instruction 12.8: Reviewing and Evaluating Applications

Responsibility	Action
	<p>1.5. Notify applicants of receipt and next steps (rejection, review, needs more information)by creating the letter in GMP</p> <p>2. Prepare Application Competition Records in GMP.</p>
Grants Director and CFO	<p>3. Approve Application Competition Records in GMP.</p>
Grants Staff	<p>4. Ensure all Selection Committee members or individuals involved in making the decision to award a grant on a non -competitive basis have signed and dated the Confidentiality & Disclosure of Relationships form certifying that the individual has no relationship that could affect their impartial and objective evaluation.</p> <p>Form 12.15 - Confidentiality & Disclosure of Relationships Form- Grants</p> <p>5. Forward NOFO and applications to the Selection Committee members for evaluation. Notify selection committee members of review deadlines</p>
Selection committee	<p>6. Review and score applications and recommend potential grantees.</p> <p>6.1 Create a score card in GMP and rate the application according to the pre-determined criteria.</p> <p>6.2. Print and attach a score card to the application if any reviewer does not have access to GMP.</p>
Grants Staff	<p>7. Summarize Selection Committee ratings to determine next steps - . Notify applicant of decision using the letter templates in GMP. There are three options as described below</p> <p>7.1. Accept the application and inform applicant it moves forward for further review and the applicant will be contested will be contacted by a staff member proceed to step 9.</p> <p>7.2. Reject the application and provide explanation to the applicant as to why the application was rejected.</p> <ul style="list-style-type: none"> • Terminate the application by changing the status of the application in GMP to “rejected”. • Generate termination letter using the GMP template. <p>7.3. Request more information from the applicant to clarify their application, and upon receipt, the application will be reviewed again.</p> <ul style="list-style-type: none"> • Generate letter requesting more information from applicant. • Return to step 4 upon receipt of requested information. <p>8. Conduct cost analysis of applicants’ budgets. If necessary, staff shall negotiate the budget to ensure that costs are realistic and reasonable. See Guidance for additional information.</p> <p>Work Instruction 12.8: Reviewing and Evaluating Applications</p>

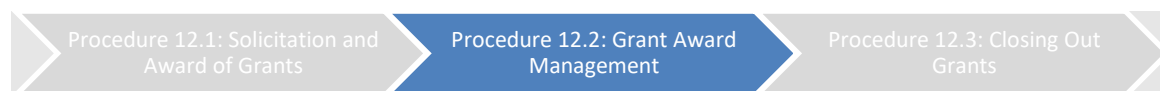
Responsibility	Action
	<p>8.1. Review each cost element for reasonableness and allowability the extent of the cost analysis will vary among grant types and is determined based on the nature of the program, experience with the applicant, and the amount and type of costs involved.</p> <p>8.2. Determine the applicants' understanding of the financial aspects of the proposed program and the applicants' ability to perform proposed activities with the funds requested. E.g., are enough funds budgeted?</p> <p>8.3. Evaluate how the applicants' plans will accomplish the program objectives with reasonable economy and efficiency.</p> <p>8.4. Determine if any costs are restricted or unallowable per DAI's agreement with the client (e.g. vehicles, computer equipment, and fertilizer) as these items may require additional approvals.</p> <p>9. Conduct pre-award responsibility determination of each applicant to ensure they have the capacity to implement a grant.</p> <p>Work Instruction 12.8: Review and Evaluating Applications</p> <p>10.1 Attach all Questionnaires to the Financial Management Checklist in GMP.</p> <p>10. Complete Environmental Review of grant if necessary.</p> <p>FOM Work Instruction 5.9: Environmental Compliance</p> <p>FOM Work Instruction 5.10: Activities Requiring Environmental Review</p> <p>10.1. Create the Environmental Review form in GMP and complete all fields.</p> <p>10.2. Forward to project's designated Environmental Compliance Officer or DCOP/Technical for review.</p> <p>10.3. Update GMP upon receipt of concurrence from the Environmental Compliance Officer or DCOP /Technical.</p> <p>10.4. Ensure that any environmental mitigation efforts or reporting requirements are included in the grant agreement.</p> <p>11. Assist applicants in fine tuning their applications, particularly if the Selection Committee raised specific issues or questions.</p> <p>11.1. Revise goals, objectives, and results if needed.</p> <p>11.2. Review and adjust the budget if any issues arose during the cost analysis.</p> <p>11.3. Adjust the proposed plans if there are any mitigating environmental issues and describe how they will be addressed.</p> <p>11.4. Review and document the cost share the grantee proposed in their application.</p> <p>Work Instruction 12.16: Determining Cost Share for Grants</p> <p>11.5. Create a Branding Strategy and Marking Plan.</p> <p>Work Instruction 12.9: Creating a Branding and Marking Plan</p>

Responsibility	Action
	<p>12. Prepare Memorandum of Negotiation in GMP.</p> <p>12.1. Document the cost analysis, pre-award determinations, and negotiation process and provide any other relevant details on points agreed upon in a Memorandum of Negotiation.</p> <p>Work Instruction 12.10: Writing a Memorandum of Negotiation</p>
Grants Director/CFO	13. Approve Memorandum of Negotiation in GMP.
Grants staff	<p>14. Prepare Request for Concurrence form in GMP if client needs to approve the grant award. If client approval is not required, proceed to Step 16.1.</p> <p>14.1. Refer to the following work instruction to determine the need for approval.</p> <p>FOM Work Instruction 3.1: Contract Approval and Deliverable Matrix</p> <p>14.2.</p> <p>14.3. Send the Request for Concurrence and all supporting documentation (listed in Policy Statement #5 above) to the DAI US Contracts Administrator for review and submission to the client. Once approved by the DAI US Contracts Administrator, proceed to step 16.</p>
Chief of Party (COP)/ Senior Technical Director/CFO	15. Request concurrence from the client by providing the required documentation (listed in Policy Statement #5 above).
	Award Process
Grants staff	<p>1. Convert the applicant's application to a grant upon receipt of written concurrence from client.</p> <p>1.1. Update GMP by changing the status of the grant and converting the application to a grant by assigning a grant number.</p> <p>1.2. Generate Grant Agreement documents in GMP upon receipt of written concurrence (or GMP online concurrence) from client.</p> <p>1.3. Generate rejection letter if grant is not approved by the client.</p>
Grants Director/CFO	2. Review and approve Grant Agreement documents, ensuring that the correct grant format is used and the required standard provisions and certifications are attached
Chief of Party (COP)	3. Sign the Grant Agreement
Grants staff	4. Forward the signed Grant Agreement to the applicant for signature and update applicant status in GMP.

4. Recordkeeping

The required records that must be maintained during executing this procedure are provided in the Project Record Map. The detailed requirements and checklist tools are provided in Form 12.0: Grant Documentation Checklist.

PROCEDURE 12.2: GRANT AWARD MANAGEMENT



1. Purpose and Scope:

- 1.1. This procedure implements the policies related to administering and monitoring a grant as stated in Policy 12: Governing Policy on Grants Management.
- 1.2. This procedure describes the end to end process of administering and managing a grant from the award to the point of close.
- 1.3. The overall purpose is to ensure compliance in administering and managing awards and the successful implementation of the grant.
- 1.4. Grant and reporting encompasses all dealings between the project and the grant recipient from the time the award is made until the end of the support. The specific nature and extent of the management shall vary from award to award; it can range from reviewing and analyzing performance reports or performing site visits to more technically developed involvement for high-risk recipients.
- 1.5. All grants are subject to audit. Pursuant to the Standard Provision entitled Accounting, Audit and Records (October 2017), if the Grantee expends ██████████ in federal grant funds in the Grantee's fiscal year, the Grantee shall conduct an annual audit; the cost of which may be paid from the grant. To comply with these guidelines, the project will, when necessary, include "audit costs" in the approved grant budget. The project may also retain the services of an auditing firm to conduct these audits.
- 1.6. Site visits are an important part of effective award management. Joint site visits by project technical staff and USAID are encouraged, since they can often be a more effective review of the project. A brief report highlighting the findings will be completed and included in the grant file.
- 1.7. Grants are subject to the provisions established and included in each award.

2. Roles and Responsibilities:

- 2.1. The Grants Staff shall serve as the focal point for the grantee and are responsible for the on-going financial and programmatic administration of the award.
- 2.2. The Grants Director/Manager(s) shall oversee the implementation of the award through the review of reports, correspondence, site visits, etc. The Grants team shall serve as the point of contact for all official communication dealing with grant administration. The Grants team shall provide for the continuing oversight by appropriate project staff of the financial management aspects of the award through reviews of reports, correspondence, site visits or other appropriate means. The Grants Director or his/her designee shall determine that the award does not contain administrative approvals that conflict with the grant provisions, stated regulations and policies. The Grants Team is responsible for processing all award agreements modifications, suspension and termination actions and maintaining complete grant records in GMP.
- 2.3. Technical Staff shall assist in the monitoring of the grantees where appropriate and review the milestones and outputs produced.

- 2.4. The MEL Specialist shall work with the Grants Staff and the grantee on reporting and collecting required data for project reporting and success stories.
- 2.5. The Procurement Officer is responsible for any direct purchasing by DAI on behalf of the grantee.
- 2.6. The Accountant is responsible for reviewing and recording the advances and expenses for grantee.
- 2.7. The Chief of Party is responsible for ensuring compliance to this procedure and that staff are trained on this procedure and supporting instruction.

3. Process:

Responsibility	Action
Grants Staff	<ol style="list-style-type: none"> 1. Arrange an orientation meeting with the winning applicant upon approval by the authority stated in the Project Schedule of Authorities (PSOA) and, if required, the client (see Guidance). <ol style="list-style-type: none"> 1.1 Invite all project staff involved in the process to attend such as the Technical Staff, Fund/Grants Director, the Procurement Officer, and the Accountant. 1.2 Clarify the roles and responsibilities of the project staff who will administer the grant and interface with the applicant. Briefly define the normal relationship between the Technical Staff and the Grants staff here perhaps, and add any additional clarification into Guidance for those projects where this may be different (technical and grants staff are the same, etc.) 1.3 Review all documents and terms of the agreement with the applicant and answer any questions. 1.4 Review all financial issues: request for funds, earned income, procurement, reimbursement, reporting (see Guidance for common reporting requirements), and records. Work Instruction 12.17: Interest Earned on Grant Advances Work Instruction 12.18: Use and Disposition of Program Income 1.5 Review all administrative issues related to implementing the grant: reporting, publications, grievances, termination, property, etc. 1.6 Review disposition of property under the grant. See Guidance 4.2. 1.7 Review the Branding and Marking Plan as determined in the application stage. 1.8 If applicable, review Trafficking in Persons (TIP) compliance requirements. Policy 3: Governing Policy on Project Compliance US Ops Policy 8.0a Governing Policy on Anti-Human Trafficking Form 3.15: Subcontractor TIP Compliance Plan Template

Responsibility	Action
	<p>Form 3.16: Anti-Human Trafficking Poster</p> <p>2. Have the applicant sign and return the grant agreement?</p> <p>2.1. Change the status of the grant in GMP to active.</p> <p>3. Open a grantee file for hard copies and potential audits of the grant by setting up binders, files, etc. During implementation, all staff shall follow the established filing system.</p> <p>Work Instruction 12.11: Grantee Documentation</p> <p>4. Update the grant record tab in GMP by scanning the grant agreement cover sheet with signatures and paste it into the space provided. No need to scan the whole document as it is in GMP.</p> <p>4.1. Create a Grant Profile in GMP (see Guidance).</p> <p>5. Update GMP by recording the milestones and /or outputs for the grant which are in the grant agreement documents. Each output or milestone shall be entered individually.</p> <p>Work Instruction 12.12: Publications and Media</p> <p>6. Develop a Monitoring, Evaluation and Learning (MEL) plan for the grant in conjunction with the Technical Staff and the MEL Specialist and enter the information in GMP.</p> <p>6.1. Enter the criteria and indicators to evaluate the grant.</p> <p>6.2. Forward the plan to the Fund/Grant Manager for review</p>
Fund/Grants Director	7. Approve the MEL plan and notify the Grants Staff and the MEL team
Grants Staff	<p>8. Forward a copy of the grant budget to the Accountant for payment control.</p> <p>9. Review all planned disbursements and requisitions in the grant agreement and budget and enter them in GMP. Follow the instructions below according to the grant. If the grant is to a United States based Non-Governmental Organization (NGO), please review the Guidance</p> <p>Work Instruction 12.15: Cash Disbursements for Grants</p> <p>9.1. If the grant is a Simplified Grant without a grant advance, no entry is required as it is cost reimbursable; proceed to step</p> <p>9.2. If the grant is a Simplified Grant with a grant advance, then see the table below.</p> <p>9.5. All DAI procurement policies and procedures are followed for In-Kind grants.</p>

Responsibility	Action		
	Fixed Amount Award	In Kind	Standard & Simplified Grant
	Schedule disbursements in GMP based upon the timeline for all milestones/outputs as agreed upon in the award and as detailed on the “Activities and Outputs” tab during step 5.	Enter the requisition(s) for goods or services in TAMIS. Any special procurement plans/instructions not included in the requisition shall be sent to the Procurement Officer.	Enter any approved advance amount as a scheduled disbursement in GMP. Prepare the advance for the grantee following Financial Management Procedure 7.5 Field Advance Management.
Fund/Grants Director/Grants Staff/MEL Specialist/Technical Staff	<p>10. Monitor the grantee according to the approved Monitoring and Evaluation Plan noted in step 7.</p> <p>10.1. Follow up on outputs and grant progress through site visits, telephone calls, email, etc.</p> <p>10.2. Ensure payments were issued and requisitions filled.</p> <p>10.3. Confirm receipt of funds and /or goods and services by grantee.</p> <p>10.4. Document all monitoring activities by creating a Comment Form in GMP. Attach any reports, emails, etc. to the Comment Form to detail all relevant actions/communications.</p> <p>10.5. If the grantee requests an amendment, follow the work instruction below.</p> <p>Work Instruction 12.13: Amendments to Grant Awards</p> <p>10.6. If the grantee has a grievance which is not readily remedied through direct discussion (i.e. work stoppage, complaint of treatment or process) follow the work instruction below.</p> <p>Work Instruction 12.14: Grievances and Early Termination of Grants</p> <p>10.7. If the grantee is underperforming, unable or unwilling to fulfill grant requirements, or violating the terms of the agreement, follow the work instruction below.</p> <p>Work Instruction 12.14: Grievances and Early Termination of Grants</p>		
Grants Staff	11. Receive and review grantee request for payment or request for reimbursement.		

Responsibility	Action
	<p>11.1. Check all receipts and documentation submitted by the grantee against the budget and implementation plan for simplified or standard grants. Obtain milestone approval from the Technical Lead for fixed amount award grants.</p> <p>11.2. Follow up with the grantee on any questions or comments concerning receipts, milestones, or documentation.</p> <p>11.3. Prepare a Request for Payment.</p> <ul style="list-style-type: none"> • Download, or collect, all supporting documents attached to the GMP grant record and save them in a single file in the P Drive. It's possible these documents are already saved in the P drive subfolder corresponding to this grant. • Open a document combining tool (such as Adobe Pro or Nitropropane) and use the feature for "combining" documents. • Organize the backup documents in the following preferred order: <ul style="list-style-type: none"> ○ Signed grant award document and any amendments ○ All grant approvals ○ Competition and negotiation documents <p>Note: if this is not the first payment request against the award, all backup documentation must be included in the electronic backup documents, even if they were included in the first payment. This is not true of the hardcopy.</p> <ul style="list-style-type: none"> • Combine these documents (regardless of file type – Word, PDF, excel) into a single PDF using the "combine" function of the software and name it "Backup Documentation Grant Payment Request #X". • Open the scanned document and check the quality of the electronic document . If any pages do not meet the following requirements it must be rescanned : <ul style="list-style-type: none"> ○ Pages are all easily readable. ○ Pages are not cut off, missing, or blackened fully or partially. ○ Original paper copy is the same as the scanned image. • Provide this single PDF file to the Accountant . <p>11.4. 11.4. Submit electronic payment request for approval, as per the PSOA.</p> <p>FOM Procedure 7.4. Field Expense Management and Reporting</p> <p>11.5. Collect all hardcopy documents that support the grant request for payment. These are documents that were created, received, or signed in hardcopy format. It is not necessary to create hardcopy documents from documents that were created, received, or signed electronically.</p>

Responsibility	Action
	<p>This means that the hardcopy set of backup documents may not contain all the same documents that are contained in the electronic set. Organize these in the same order as step #11.3.3 above.</p> <p>Note: For any subsequent payments against a multiple payment award, the hardcopy set only must include an easy-to-find reference to the first payment Voucher Number, or payment Request Number, which must be listed on the Payment Request Form. There is no need to include hardcopies of all the original documentation again.</p> <p>11.6. Provide hardcopy document set to the Accountant. There is no need to keep a duplicate copy in hardcopy of these documents in the Grants Office. Once these originals are submitted to Finance, electronic copies found in GMP are the only records that must be kept by the Grants Team.</p> <p>11.7. When settling a grantee’s advance, follow the instructions in the financial management procedure below.</p> <p>FOM Procedure 7.5 Field Advance Management</p> <p>11.8. If issuing an additional advance, return to step 9 above and continue the procedure from that point.</p> <p>11.9. If there is cost share contribution requirements, check the validity of the receipts and the cumulative value of cost share contributions to date. Notify the grantee if they are falling behind on this obligation.</p> <p>11.10. If this is the final grantee payment, do not pay. Proceed to:</p> <p>Procedure 12.3: Closing Out Grants.</p> <p>12. Resume the on-going monitoring of the grant as outlined in Step 10.</p> <p>12.1. Pay attention to end dates and manage budgets closely at the advanced stages of the grants.</p>
Fund/Grant Manager	<p>13. Update the COP and Technical Staff on the grantees’ status, noting any successes or delays in grant implementation, problems with the payments /requests for reimbursements, or cost share contributions. The frequency and format of the updates are normally determined by the client, contained in quarterly or monthly technical reports</p>
Grants Staff	<p>14. Notify the grantee that 30 days remain prior to the end date of the agreement.</p> <p>14.1. Inform the grantee that all activities shall cease on the end date and no reimbursements shall be paid for costs incurred after this date.</p> <p>14.2. Instruct the grantee to begin preparing the final report and that it shall be due on the end date of the agreement.</p> <p>14.3. Inform the grantee that they have 30 days after the end date of the agreement to prepare and submit their final financial report. Remind</p>

Responsibility	Action
	<p>the grantee that no costs incurred during preparation of this report shall be reimbursed as it is after the end date of the agreement.</p> <p>Form 12.6: Grantee Final Report</p> <p>15. Monitor the grant closely and stay in contact with the grantee during the final weeks of implementation.</p> <p>16. Receive and review the Final Report from the grantee.</p> <p>16.1. Log the report into GMP.</p> <p>16.2. Review the Final Report against the approved milestones and outputs.</p> <p>16.3. Contact the grantee regarding any discrepancies or missing documentation.</p> <p>17. Issue the final grant amendment, can be in the form of an amendment or can be contained in the closeout letter which contains the final grant value.</p> <p>Form 12.8: Grant Close-Out and Disposition Letter</p> <p>18. Conduct a file audit using the Grants Checklist to confirm that the documentation found in GMP is complete. If any documents are missing, find them and scan and attach them.</p> <p>19. Change the status of the grant in GMP to “completed”. Continue with the close out process following the procedure below.</p> <p>Procedure 12.3: Closing Out Grants</p>

4. Recordkeeping

The required records that must be maintained during executing this procedure are provided in the Project Record Map. The detailed requirements and checklist tools are provided in Form 12.0: Grants Documentation Checklist.

PROCEDURE 12.3: CLOSING OUT GRANTS



1. Purpose and Scope:

- 1.1. This procedure implements the policies related to closing out a grant agreement stated in Policy 12. Governing Policy on Grants Management.
- 1.2. This procedure describes the end to end process of closing a grant from the completion of all activities to auditing and closing the grant file.
- 1.3. The overall purpose is to ensure compliance in documenting the completion of grant awards.

2. Roles and Responsibilities:

- 2.1. The Grants Staff is responsible for ensuring that the grantee has completed all requirements for closeout and performs the required audit of files.
- 2.2. The Grants Director shall oversee the proper closure of each award.
- 2.3. The Technical Staff shall review all final outputs from the grant awards.
- 2.4. The Monitoring, Evaluation and Learning (MEL) Specialist and Staff shall assist in the final reporting of each grant award.
- 2.5. The Procurement Officer shall confirm that all goods and services were paid for and received.
- 2.6. The Accountant shall confirm that all payment requests were paid and advances cleared for grantees.
- 2.7. The Chief of Party (COP)/Deputy Chief of Party (DCOP) is responsible for ensuring compliance to this procedure and that staff are trained to this procedure and supporting instructions.

3. Process:

Responsibility	Action
Grants Staff	<ol style="list-style-type: none"> 1. Begin drafting final evaluation report on the grant; highlighting successes and/or lessons learned. Work with the Technical Staff and Monitoring, Evaluation and Learning (MEL) Specialist to compile all information. Form 12.7: Grantee Evaluation Report Template 2. Create a Close-out Form in GMP. <ol style="list-style-type: none"> 2.1. Begin auditing the Master Grant File while simultaneously proceeding through steps 4 to 11 of this procedure. Work Instruction 12.11: Grantee Documentation 3. Contact the Procurement Officer to confirm that all requisitions are completed and closed.
Procurement Officer	<ol style="list-style-type: none"> 4. Contact all vendors and service providers. <ol style="list-style-type: none"> 4.1. Confirm that all final goods and services were delivered.

Responsibility	Action
	<p>4.2. Collect any outstanding invoices and submit for payment.</p> <p>4.3. Review and update the inventory list for In-Kind disbursed grants in GMP.</p> <p>Procedure 9.6: Inventory Management</p> <p>5. Notify Grants Staff that all procurement activities are complete and GMP is updated.</p>
Grants Staff	<p>6. Receive and review the Final Financial Report from the grantee.</p> <p>Form 12.5: Grantee Financial Report</p> <p>6.1. Log the report into GMP.</p> <p>6.2. Review the Final Financial Report against the approved budget and the remaining funds.</p> <p>Work Instruction 12.17: Interest Earned on Grant Advances</p> <p>Work Instruction 12.18: Use and Disposition of Program Income</p> <p>6.3. Review all the receipts and back -up documentation.</p> <p>6.4. Contact the grantee regarding any discrepancies or missing documentation.</p> <p>6.5. Enter any final disbursements and /or reconciliation of advances in GMP.</p> <p>7. Forward the Final Financial Report and documentation to the Accountant.</p>
Accountant	<p>8. Review the Final Financial Report and all documentation.</p> <p>8.1. Audit all advances and disbursements to grantee in the accounting system.</p> <p>8.2. Prepare the final disbursement for the grantee if required.</p> <p>8.3. Ensure that all advances that have been billed to the client are reconciled.</p> <p>9. Notify Grant Staff when all documentation is in order and ready for final payment upon clearance from the Fund/Grant Manager per step 15.</p>
Grants Staff	<p>10. Finalize the Grant Evaluation Report with final inputs from Technical Staff and MEL Specialist.</p> <p>11. Finalize the audit of the Master Grant File.</p> <p>12. Notify the Fund /Grants Director that the grant is completed and forward the Grant Evaluation Report and the Final Financial Report for review</p>
Grants Director	<p>13. Review and approve the reports.</p> <p>13.1. Follow up with Grants Staff, Technical Staff, or MEL Specialist on any revisions or clarifications</p> <p>14. Perform a final audit of the Master Grant File.</p> <p>14.1. Notify the Grants Staff that everything is in order and the grant can be closed.</p>

Responsibility	Action
	14.2. Notify the Grants Staff of any missing or incomplete documentation that is required to close the grant. Set a deadline for completion of the file.
Grants Staff	15. Notify the Accountant that documentation is now complete, and the final disbursement can be processed accordingly. 16. Draft the request for client approval to close the grant and forward with any supporting documentation including the Grant Evaluation Report. If client approval is not required, the Chief of Party is the final approver. 16.1. Include the final amount expended on the grant and attach any final reports and /or evaluations. 16.2. Client approval is normally required when the client is substantially involved in the grant process or if there is a specific request that also accompanies closing out the grant such as de-obligating unused funds.
Grants Director	17. Approve the request for client approval letter and documentation
COP/DCOP	18. Sign and submit the request for client approval letter
Grants Staff	19. Prepare close out letter for grantee upon receipt of client approval to close the grant. Form 12.8: Grant Close-Out and Disposition Letter
Grants Director	20. Review and approve Grant Close-Out Letter
COP/DCOP	21. Sign the Grant Close -Out Letter
Grants Staff	22. De-obligate any unspent funds and update GMP 23. Forward the Grant Close-Out Letter to the grantee 24. Update the Grantee Profile in GMP with a summary of successes and lessons learned. 24.1. Circulate Grantee Profile to internal technical staff for application to subsequent grants or technical work. 25. Submit any reports or publications to DAI US. Work Instruction 12.12: Publications and Media 26. Set the grantee status to “closed” in GMP

4. Recordkeeping

The required records that must be maintained during executing this procedure are provided in the Project Record Map. The detailed requirements and checklist tools are provided in Form 12.0: Grants Documentation Checklist.

FOM CHAPTER 12 TABLE OF CONTENTS

To further illustrate the comprehensive nature of the DAI (and thus ATI) Grants Management Manual found in the DAI FOM, below is the detailed table of contents of Chapter 12, which serves as a road map for how the contents of the manual above link to other work instructions and forms found in the ATI FOM.

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 - Chapter 12 Implementation of Grants
 - Form 12.0 Grant Documentation Checklist
 - Form 12.01 Grants Manual Deliverable
 - Form 12.02 RFA Template
 - Form 12.03 APS Template
 - Form 12.04 Financial Capability Questionnaire
 - Form 12.05 Grantee Financial Reports
 - Form 12.06 Grantee Final Report Template
 - Form 12.07 Grant Evaluation Report Template
 - Form 12.08 Grant close Out and Disposition letter
 - Form 12.09 Fixed Amount Award Entity Eligibility Checklist
 - Form 12.10 Fixed Amount Award Agreement Template
 - Form 12.11 In-Kind Grant Template
 - Form 12.12 Standard Grant Standard Forms
 - Form 12.13 Simplified Grant
 - Form 12.14 Grants to Local Government entities
 - Form 12.15 Confidentiality & Disclosure of Relationships Form- Grants
 - Form 12.16 Project Grant Team Meeting Agenda
 - Form 12.17 FAA with In-Kind Grant Agreement Template



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