



CREATIVE
GRANTS MANUAL

Acronym List

ADS	Automated Directives System
APS	Annual Program Statement
AREF	Regional Education OfficesRegional Education Offices
CCETVS	Directorate of Technical Education and School Life
CDCS	Country Development and Cooperative Strategy
CFR	Code of Federal Regulations
CNEE	National Center for Evaluation and Examinations
CO	Contracting Officer
COR	Contracting Officer Representative
Creative	Creative Associates International, Inc.
CRMEF	Teacher Training Institutes
CSO	Civil Society Organization
DC	Directorate of Curricula
DUNS	Dun and Bradstreet Universal Numbering System
FAA	Fixed Amount Award
GOM	Government of Morocco
GUC	Grants Under Contract
HQ	Headquarters
MSR	Management System Review
NFO	Notice of Funding Opportunity
NGO	Non-Governmental Organization
PEO	Provincial Education Offices
RFA	Request for Application
RFI	Request for Information
SAC	Special Award Conditions
SC	Source Selection Committee
TOCO	Task Order Contracting Officer
TOCOR	Task Order Contracting Officer Representative
UCFC	Central Unit for Teacher Education
USAID	United State Agency for International Development

Contents

I.	INTRODUCTION	5
II.	PROJECT PURPOSE	5
III.	GRANT PROGRAM PURPOSE AND/OR OBJECTIVES	6
IV.	AUTHORITY	6
A.	Contract	6
1.	Approvals	7
2.	Thresholds	7
B.	Creative Associates International	7
1.	Grants Manual and Field Manual	7
2.	Delegation of Authority (DOA)	7
V.	ETHICS	8
VI.	ROLES AND RESPONSIBILITIES	10
A.	Project Team	10
1.	Chief of Party (COP)	10
2.	Grants Staff	10
3.	Technical Staff	11
4.	Procurement Staff	12
5.	Financial Staff	12
B.	Headquarters	12
1.	Project Director	12
2.	Contracts Department	12
3.	Grants Administration Department	13
C.	Client	13
1.	(Task Order) Contracting Officer Representative	13
2.	(Task Order) Contracting Officer	13
VII.	GRANTS PROCESS AND STRATEGY	13
A.	Grants Process Graphic	14
B.	Pre-Notification	14
1.	Grant Memorandum of Negotiations	14
2.	Market Research	14
3.	Program Description	14
4.	Budget Estimate	16

5. Selection Criteria	16
6. Ratings	17
7. Types of Grantees	17
8. Grant Mechanism	17
9. Eligibility	18
10. Notice of Funding Opportunity (NFO)	20
C. Pre-Award	22
1. Pre-Application Conference	22
2. Amendments to NFO	22
3. Receipt of Concepts/Applications	22
4. Special Situations	22
5. Review of Applications	23
6. Validation of Apparent Successful Application(s)	25
7. Negotiations	25
8. Pre-Award Responsibility Determination	25
9. High Risk Grantees	27
10. Pre-Award Certifications, Assurances and Other Statements of Grantee	28
11. Registration/DUNS	28
12. Award	28
13. File Documentation	29
D. Post-Award	29
1. Start-Up	29
2. Implementation	30
3. Closeout	40
VIII. ANNEXES	43

I. INTRODUCTION

Reading For Success - National Program for Reading (RFS-NPR) grants manual outlines Creative Associates International (Creative) standards for implementing a grant program that is compliant with the terms of its contract with the United States Agency for International Development (USAID) and its own internal policies. It is based on the utmost integrity and is supplemented by support, training(s), and oversight from its headquarters in Washington, DC.

II. PROJECT PURPOSE

The purpose of *Reading For Success - National Program for Reading (RFS-NPR)* is to expand USAID/Morocco's efforts to support the Ministry of National Education and Vocational Training (MOE) to improve reading and writing outcomes at the primary school level to 15 million children by 2023.

The RFS-NPR activity will focus on four results with capacity building as a cross cutting key element in each result:

- Result 1: Improved reading and writing materials used in primary schools
- Result 2: Improved reading and writing instruction in primary schools
- Result 3: Reading and writing enrichment programs expanded
- Result 4: Learning and assessment systems improved

The activity will be carried out in partnership with the MOE to build their capacity to develop effective Arabic language curriculum and instructional materials and to deliver professional development programs to education personnel to improve teaching skills and better monitor student progress.

III. GRANT PROGRAM PURPOSE AND OBJECTIVES

The grants program is planned for 2 years within the life of the project. The grants program shall not exceed the allocated amount of the grants per the award language. The grants program will be implemented per workplan details that will be prepared in consultation with the COR:

- The allocated grants funds will be granted to non-US NGOs on a competitive basis to develop summer school programs.

Grants under Contract (GUC) awarded under the program will support local communities and non-governmental organizations (NGOs) in implementing activities. All GUC mechanisms must indicate to USAID that it is an appropriate mechanism to use local and community organizations and structures with specific role(s) and deliverable(s) of the proposed NGO partner(s) by task and justify how the inclusion of any partner enhances overall effectiveness, reach, and success of the program.

The program will establish grants with a selection of civil society organizations (CSOs)-- giving priority to those NGOs that worked with the experimentation activity for support improving reading instruction and student outcomes. In year 2 and year 3 of implementation, CSOs in the selected region should sign their grants and start the implementation.

Grants could be used for reimbursing the costs of coaching and monitoring visits by the trained district, and other key stakeholders so long as the system behind doing this is approved by the Moroccan Government and USAID.

IV. AUTHORITY

A. Contract

Authority to issue grants on behalf of the client is given under the contract AID-608-C-17-00001 with USAID. Creative **does not** have authority to execute or administer Cooperative Agreements on the client's behalf.

1. Approvals

USAID must be significantly involved in establishing selection criteria for GUCs and the Contracting Officer Representative (COR) must approve the actual selection of grant recipients. USAID retains the right to terminate grants unilaterally.

2. Thresholds

~~Grants to local Non-governmental organizations may not exceed \$100,000.~~ There is no monetary limit for a single grant awarded to a non-U.S. Non-governmental organization. The following exceptions apply:

1. If a Fixed Amount Award (FAA) grant agreement is used, the grant agreement cannot be for more than 3 years; and/or
2. If the small grants exception is used for awarding to a grantee via sole source, the grant cannot be for more than 1 year and \$250,000.00.

B. Creative Associates International

1. Grants Manual and Field Manual

The grants and field manuals provide guidance to field and home office staff on the necessary requirements to administer grants in the field on behalf of the USAID and Creative. They outline USAID and Creative policies that must be followed. Any exceptions to the requirements given must first be discussed with either the client and/or Director of Grants Management and Administration at Creative headquarters (HQ). If there are any discrepancies in the requirements between Creative and USAID, it is the requirement that is more restrictive that applies. If either manual lack guidance on how to address a situation, it should be brought to the attention of the Director of Grants Management and Administration at Creative HQ to determine a way forward.

2. Delegation of Authority (DOA)

IMPORTANT: Prior to Creative representatives signing a grant agreement or modification to a grant agreement, USAID approval must be obtained in accordance with Section IV.A.1. of this grants manual.

IMPORTANT: Please note that USAID approval and Creative DOA are not the same thing and are mutually exclusive/inclusive of each other.

The following designates the appropriate delegations of authority under this contract to sign grants for Creative:

Signatory

Chief of Party

Practice Area Director

Vice President of Education

Executive Vice President

In the event that the CoP is not available to sign a grant agreement, then the Practice Area Director would sign. If the Practice Area Director is not available to sign, then the Vice President of Education would sign, and so-on.

V. ETHICS

Reading For Success - National Program for Reading (RFS-NPR) is committed to implementing the grants program with high standards of professionalism and integrity. Therefore, a high standard of ethical conduct in the spirit of public accountability in conformity with applicable laws, regulations, and practices common to other corporations and governmental agencies is applied. All employees must sign a "Code of Conduct" and are provided Creative's Employee Handbook which elaborates on the code of ethics, Creative values, and expected conduct. In addition, staff involved in the procurement process must sign the "Declaration of Impartiality, Confidentiality and Conflict of Interest". If any employee becomes aware of any allegations of

unethical or prohibited acts stated below, the individual is obligated to immediately initiate one of the following steps:

- Inform the COP, verbally or in writing, of such alleged conduct;
- Submit by electronic form at www.creativeassociatesinternational.com/directline/;
- Calling toll free 1 (877) 750-2732 or +1 (202) 772-2137;
- E-mail the Security Department at Fraud&Abuse@Creative.com; or
- Directly reporting to the respective Office of Inspector General (USAID/U.S. Department of State).

Under no circumstances should the program, or individuals on the program, initiate any investigation on their part into any allegation unless instructed by the Security Department.

Furthermore, employees are expected to recuse themselves from participation in any work where a potential conflict of interest may arise. Should a conflict of interest, or the appearance of a conflict of interest, arises, the COP will report the issue to the Office of Security, which will initiate an investigation and recommend appropriate actions to remedy, correct, mitigate, or otherwise resolve the unethical conduct or prohibited act(s).

Employees are not to use their roles under the program for private gain and shall act impartially and not give preferential treatment to any organization or individual. Employees must strive to avoid any action creating the appearance of violating laws or ethical standards. The following are examples of unethical conduct and prohibited acts that employees should not be engaged in:

- (a) Bribery and Kickbacks:** An employee soliciting for money, favors, or anything of value by or on behalf of a prospective partner to influence or reward an official decision. An employee or a project partner providing or offering money, fees, commission, credit, gifts of any value, or objects of any value to obtain favorable treatment.
- (b) Solicitation of Favors:** A project employee may not solicit gifts, meals, entertainment, discounts, travel and transportation, lodging, goods, cash or other favors from partners, suppliers, grantees, vendors or other business acquaintances.
- (c) Conflict of Interest:** A conflict of interest is any interest, financial or otherwise, direct or indirect; participation in any business transaction or professional activity; or incurring any obligation of any nature, which is or appears to be in substantial conflict with the proper discharge of duties in relation to a funded project. Conflict of interest includes, but is not limited to:
 - An occasion when an individual's private interest differs from his or her professional obligations;
 - A situation in which professional actions or decisions occur that an independent observer might reasonably question;

- Nepotism, i.e., favoritism shown to a relative on the basis of an immediate family relationship (Note: immediate family can be defined as parents, children, siblings, grandparents, in-laws, foster and step children, and anyone living in the same household as a family)

In the review and implementation of grants, Creative reserves the right to investigate an application or a grant due to any real or perceived conflict of interest. If Creative determines that a conflict of interest exists, Creative will/may disqualify an application or terminate a grant. Management System Reviews (MSRs), which entails field operation reviews to ensure that Creative’s policies and procedures are being followed in the field, may be conducted at least once during the lifetime of the project or as frequently as needed. Finally, Creative’s Compliance Department plays a critical role in helping to ensure that internal controls are in place and adhered to always.

VI. ROLES AND RESPONSIBILITIES

A. Project Team

1. Chief of Party (COP)

The COPs responsibilities in the grant process are, but are not limited to:

- Overall responsibility for administering grants in an efficient, transparent and accountable manner;
- Communicating requests for required approvals if approval authority lies with the Contracting Officer Representative (COR);
- Being substantially involved always in the grants program and maintaining a high level of oversight;
- Addressing ethical issues and taking the appropriate corrective action;
- Signing grant agreements and modifications up to his/her delegated authority level;
- Providing full cooperation to internal audit teams so that audit objectives are met in an effective and timely manner;
- Ensuring that the grant program is aligned with overall program goals and results;
- Collaborating with the Enrichment Manager, to identify the most appropriate venue for advertisement of Requests for Information (RFI), Requests for Applications (RFAs), and Annual Program Statements (APS).
- Making determinations in writing on whether to accept late applications;
- Establishing source selection committee (SC); and
- Determining whether award should be made or the type of grant agreement to be made to grantee deemed to be a high risk.

2. Enrichment Manager

The Enrichment Manager will be responsible for, but not limited to:

- Managing the grants process from beginning to end;
- Conducting assessments of pre-notification documentation for completeness and accuracy, i.e. program description, budget estimate, evaluation criteria with relative importance indicators, application instructions, and any other applicable documents;
- Providing full cooperation to internal audit teams so that audit objectives are met in an effective and timely manner;
- Collaborating with the COP, in identifying the most appropriate venue for advertisement of Requests for Information (RFI), Requests for Applications (RFAs), and Annual Program Statements (APS).
- Facilitating the preparation of responses to questions on an RFI, RFA, or APS;
- Conducting cost analysis of cost applications;
- Leading negotiations with potential grantees prior to award of grant agreement;
- Managing the development of the RFA, RFI and APS;
- Managing the preparation of responses to questions on a solicitation and in turn providing written responses to the questions to potential applicants;
- Convening the source selection committee for the evaluation of applications, and instructing the SC of their duties;
- Taking steps to ensure that members of any review panel, as well as staff involved in any part of the review/approval of applications, do not have any conflicts of interest or the appearance of such with regard to the organizations whose applications they will be reviewing;
- Conducting responsibility determination;
- Vetting potential applicants in CIDS;
- Conducting site visits during post award administration;
- Ensuring grantee is maintaining compliance with their award; and
- Drafting grant memorandum of negotiations.

3. Technical Staff

Program technical staff are responsible for, but not limited to:

- Drafting program descriptions;
- Preparing budget estimates for activities;
- Drafting selection criteria against which applicants will be evaluated;
- Drafting instructions for RFIs, RFAs, and APSs; (if and when needed)
- Drafting responses to questions on a RFI, RFA, or APS; (if and when needed)
- Evaluating technical applications against the selection criteria of a RFA and recording their findings in an evaluation and review form;
- Conducting cost realism analysis;
- Assist in site visits;

- Assist in building capacity;
- Reviewing and verifying deliverables; and
- Reviewing and verifying voucher payments.

4. Procurement Staff

The procurement staff, led by the procurement manager is responsible for, but not limited to:

- Procuring in-kind goods and/or services for in-kind grant agreements according to the schedule negotiated with the grantee.

5. Financial Staff

The financial staff, led by the finance manager are responsible for, but not limited to:

- Conducting/reviewing fixed amount award (FAA) eligibility checklist or financial and management capability questionnaire to assist in providing a risk assessment;
- Review payment requests against grant agreement; and
- Issuing payments for grant agreements.

B. Headquarters

1. Project Director

The headquarters project director is responsible for, but not limited to:

- Participating in the strategic/tactical decision making of the grants program and consulting with the Director of Grants Management and Administration on any issues that need to be addressed;
- Preparing approval request letters to be submitted to the CO/COR via the contracts department;
- Assisting in the preparation of solicitations;
- Prepare and waivers required to implement the grant program; and
- Obtains HQ approvals per the DOA and Authorities Matrix.

2. Contracts Department

The contracts department is responsible for, but not limited to:

- Facilitating approval and waiver requests to the CO or TOCO; and
- Providing guidance, where necessary, to the Director of Grants Management and Administration.

3. Grants Administration Department

The grants administration department, led by the Director of Grants Management and Administration is responsible for, but not limited to:

- Providing support and guidance on grants management related issues and overseeing the implementation;
- Developing policies and procedures for grants management;
- Conducting desk and/or field reviews of grant activities to ascertain compliance with client regulations and Creative policies;
- Conducting training sessions for field grant staff;
- Liaising closely with the COP, PD, and Enrichment Manager on all matters related to the implementation of an effective grants program.

C. Client

1. Contracting Officer Representative

The COR is responsible for, but not limited to:

- Providing technical oversight and administration of the contract;
- Facilitating correspondence between the COP/PD and the CO; and
- Approves selection of grantees per Section H.32.a of the contract with USAID.

2. Contracting Officer

The CO is responsible for, but not limited to:

- Approves the grant manual;
- Any grant exception to be approved by CO;

VII. GRANTS PROCESS AND STRATEGY

Morocco RFS/Let's Read! will utilize a mixture of resources to administer its grants program. Grants will be solicited to every extent possible. However, there will be scenarios that could benefit, where practical, to issue sole source awards using one of the exceptions available to them under Section VII.B.8. All decisions to openly compete, limit competition, and/or sole source will be informed by market research to support decisions made.

A. Grants Process Graphic

See Annex A

B. Pre-Notification

1. Grant Memorandum of Negotiations

When starting the grants process, it is important to note how key documentation is to the integrity of the process. It is therefore recommended that the drafting of a grant negotiation memorandum begin as soon as possible.

The grants team is responsible for preparing a grant memorandum of negotiations to be signed by the Enrichment Manager. It is one of the most key documents in a grant file that captures the complete history of the grants process up to award. It includes a summary of the SC evaluations and recommendations and cost analysis. It also accounts for any pre-award determinations such as how identified risks for high risk grantees will be mitigated and implemented. Please see Annex B for the Grant Memorandum Negotiation template.

2. Market Research

Market research is defined as the process of gathering information about target markets or customers. Market research provides valuable information about the type of grantees *Morocco-RFS* could engage with, their location, and management/financial capabilities, as well as identifying the type of grant mechanism that could be utilized.

The following is a list of how market research can be conducted. The grants team should work with their colleagues on the project to identify additional means of gathering information where applicable.

- 1) Request for Information (RFI);
- 2) Obtaining information from other USAID programs (if obtainable);
- 3) Obtaining information from other implementers in the region (if they are willing to provide); and
- 4) Going to communities in the region and identifying their needs.

PLEASE NOTE that all market research should be documented to support future award decisions.

3. Program Description

The program description is drafted by the technical team, and is incorporated in the RFA template (Annex E). How well a program description is drafted could result in success or failure

of a grant. Therefore, the program description should be reviewed by those relevant to the program to provide comment. As it is subject to interpretation by law, it should be written with clarity. Writing a program description that lacks clarity could result in the following:

- 1) Inability to hold a grantee accountable;
- 2) Delays, disputes, and increased costs; and
- 3) Undesirable outcomes.

The program description, per the RFA template is broken down into 5 key sections – Purpose, Background, Objectives, Illustrative Activities, and Authorizing Legislation. As applicable, the following could be covered under these sections:

- 1) Applicable Conditions – are there significant conditions that are or could affect the performance of the grant, and any risks involved and how they can be mitigated;
- 2) Capability and Performance Indicators - characteristics required for the grant or performance indicators. Describes the basis for establishing delivery or performance period requirements.
- 3) Logistics Considerations - Assumptions determining support to the grantee over the life of the grant, such as title to supplies and/or equipment.
- 4) Property – This could take into account whether any property will be provided or if purchased, how property it to be tracked and maintained by the grantee.
- 5) Monitoring Requirements - How the grantee will be monitored throughout implementation.
- 6) Gender – Per the requirements of the contract, this must be addressed in the program description.
- 7) Sustainability – Per the requirements of the contract, this must be addressed in the program description.
- 8) Environmental Considerations – *Morocco RFS* will take environmental impact issues into account for all grant activities and find ways to protect the environment in areas related to any award. *Morocco RFS* will ensure that all appropriate environmental guidelines for the activity are addressed and that relevant mitigation measures described in the pertinent threshold decision for specific types of activities are funded and implemented, including any necessary training or capacity building, and adequate monitoring. Specifically, *Morocco RFS* will ensure that grantees adhere to the requirements set forth in Section H.22 of the Contract. *Morocco RFS* will ensure that grantees comply with Government of Morocco environmental regulations and obtain all required permits from the appropriate government officials when applicable. In case of conflict between host country and USAID regulations, the more stringent regulations will apply.
- 9) Source Nationality

Code

The authorized geographic code for this project as designated by the client is 935. This means that the procurement of any commodity or services can be from any area or

country, including the recipient country, but excluding any country that is a prohibited source. There are currently no prohibited source countries. However, the procurement of any goods/services must pass CIDS. **See ADS 310 for further details** (<https://www.usaid.gov/sites/default/files/documents/1876/310.pdf>).

Restricted Commodities

The following is a list of commodities that require approval by the client prior to their purchase:

- 1) Pharmaceutical products;
- 2) Agricultural commodities and products;
- 3) Motor vehicles;
- 4) Contraceptives and condoms;
- 5) Pesticides;
- 6) Used equipment; and
- 7) Fertilizer.

See ADS 312 for further details

(<https://www.usaid.gov/sites/default/files/documents/1876/312.pdf>).

Ineligible Commodities

- 1) Military equipment;
- 2) Surveillance equipment;
- 3) Commodities and services for support of police or other law enforcement activities;
- 4) Abortion equipment and services;
- 5) Luxury goods and gambling equipment; or
- 6) Weather modification equipment.

4. Budget Estimate

Utilizing the template found in Annex G, the technical team will prepare a budget estimate after they have drafted the program description. The budget estimate is the projects estimate of resources and projected cost a grantee could incur in the performance of a grant. It provides a basis for comparing costs, and evaluating proposed costs for reasonableness, allowability, and allocability. It helps to understand what can be achieved within the budget. The budget estimate will be reviewed by a member of the grants team for review before being finalized.

5. Selection Criteria

The selection criteria are drafted by the technical personnel, and will be used by the selection committee to evaluate prospective applicants' applications. In some cases, the selection

criteria must be approved by the client. To know if this is the case, please see Section IV.A.2. Sample selection criteria used for purposes of this project can be found in the Request for Application (RFA) template and Selection Committee Evaluation Sheet, and can be modified to fit RFA requirements. See ADS 303.3.6.2 for further information (<https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>).

6. Ratings

The project will utilize numerical values to score applications as defined in the RFA template and Selection Committee Evaluation Sheet. The Selection Committee Evaluation Sheet identifies the various numerical ranges and what that means of the application submitted by the grantee.

7. Types of Grantees

The type of grantees eligible to receive grants under this project are:

- 1) Non-U.S. Non-governmental Organizations (NGOs)(non-profit and for-profit); and

8. Grant Mechanism

The following grant mechanisms are ordered by level of risk, from lowest to highest.

a. In-Kind Grant (See Annex J)

Under an in-kind grant, disbursements are not made directly to grantees because the project procures all necessary commodities and services on behalf of the grantee, thus making it the least riskiest grant to Creative. This does not mean, however, that the grantee is not an active partner in deciding how the funds are to be utilized. Grantees can provide valuable input as to what is needed and assist in gathering quotes from possible service-providers or vendors, while Creative will ensure the integrity of any procurement and make the payments. Under in-kind grants the project ensures that all procurement carried out under the in-kind grant format is done in compliance with USAID's procurement regulations and Creative's corporate policies. No funds transfers or payments are made to grantees under an in-kind grant agreement.

An example for in-kind grants is the purchase of educational materials for out-of-school children program where Creative is purchasing the items on behalf of grantees. All items purchased will be delivered to site(s) by Creative or delivered directly by the vendor and documented with assistance from the grantee and/or the beneficiaries. Upon receipt and acceptance of the procured property, grantees are required to use and conserve the property solely for the purposes specified in the award document.

b. Fixed Amount Award (FAA)(See Annex K)

The Fixed Amount Award (FAA) is used when the potential grant activities have very well defined program elements and milestones. Due diligence in the planning and pre-award stages of such awards is essential to a successful activity under a FAA. A FAA is also preferred with high risk grantees because they do not have to account for expenses nor are they subject to a full cost audit. Subsequently, actual costs incurred do not need to be monitored as all costs are covered by agreed upon payments of milestones. Before awarding a FAA, the project will complete and comply with the FAA Entity Eligibility Checklist. The project must also ensure that the grantees provide sufficient cost information for the activity to avoid paying more than a reasonable value for the completion of the activity. Key conditions for using an FAA can be found in the FAA template. Additional information can be found under ADS 303.3.25 (<https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>).

c. Simplified Grant (See Annex L)

The Simplified Grant mechanism offers a streamlined approach to the issuance of small grants. The Simplified Grant is used for both U.S. and non-US organizations and must meet all the conditions established in ADS 303.3.24. Under a Simplified Grant, disbursements are generally made on a reimbursement basis, so grantees must possess adequate funds up front to begin incurring expenses and the recipient has an accounting system that can manage a cost-reimbursable type of agreement and billing. Therefore, the Simplified Grant is used when an organization has sufficient cash flow and internal systems. The advantage of using the Simplified Grant is that it allows the program to issue Small Awards on a cost-reimbursable basis and generally do not include any of the Standard Provisions to which other grantees are subject. Further information can be found under ADS 303.3.24 (<https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>).

d. Standard Grant (See Annex M)

The Standard Grant Format can be used for any grantee provided that the grantee has the financial and management capability to appropriately manage USG grant funds. The primary advantage of the Standard Grant is that the method of cash disbursement is more flexible. The disadvantage is that a Standard Grant can only be issued for more developed organizations that possess documented management capability. Additionally, the grant agreement is more complicated than other formats as the Standard Provisions for Non-U.S. Nongovernmental Organizations or U.S. Nongovernmental Organizations are required and attached to the grant document. Further information can be found under ADS 303 (<https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>).

9. Eligibility

Eligibility refers to those that are eligible to receive funds under the grant program. The project, to the maximum extent possible, will utilize full and open competition. However, there may be circumstances where eligibility is restricted. Competition could be limited to a select group of potential applicants. The decision to limit competition should be based on relevant market research, to inform the projects decision in determining what restriction to eligibility are applicable per ADS 303.3.6.5

(<https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>).

Exceptions to restrict eligibility should not be based on the following:

- 1) Mobilization costs. This means that eligibility should not be restricted due to the costs it would take a grantee to mobilize.
- 2) Demobilization costs. This means that eligibility should not be restricted due to what it would cost a current grantee to demobilize.
- 3) Continuing relationship. This means that eligibility should not be restricted to continue a relationship.
- 4) Lack of planning. This means that eligibility should not be restricted due to a lack of planning by the project team.

The exceptions to restrict eligibility that will most commonly be used by the program are as follows:

- 1) **Exclusive or predominant capability** – when a grantee has an exclusive or predominant capability based on one of the following: (a) proprietary resources; (b) specialized facilities or programmatic expertise; (c) an existing and unique relationship with the cooperating country or beneficiaries; or (d) participation in a Global Development Alliance.

It should be noted that this exception cannot be used to continue an on-going relationship when the applicant developed the exclusive or predominant capability during performance of an existing award under the project.

- 2) **Small grants** – when a potential award is at or below the simplified acquisition threshold (\$250,000.00) and a period of performance for no more than one year. **It should be noted that while this exception provides a nice means by which to get some implementation up and going, it is extremely restrictive in how we can engage the grantee post-award to carry on a further relationship. Prior to utilizing this exception, the program should consider the long term effects on the programs ability to use a grantee under a grant that utilized this exception for future relationships.**
- 3) **Restricted eligibility for efficiency** – when it is necessary for the sake of efficiency.
- 4) **Follow-on awards and extensions** - A follow-on award is a new award to an entity to perform activities that are the same as or substantially similar to those included in a

recently expired previous agreement with the same entity. An extension is an amendment to increase the total estimated amount of an existing award, usually to provide additional activities within the program description, to extend the period of the award, or both. Also included in the definition of “follow-on” are awards or extensions that include new activities that are clearly logical expansions of or derived from activities previously performed by the same grantee. The follow-on exception must not be used to continue a relationship with a recipient that received an award based on the small grant award exception.

- 5) **Unsolicited Applications** – the project may make an award based on an unsolicited application when the application: (a) clearly demonstrates a unique, innovative, or proprietary program; (b) represents an appropriate use of funds to support or stimulate a public purpose; and (c) fits within the scope of the contract.

If an unsolicited application fits within the program description of an already published annual program statement (APS) or request for application (RFA), the grantee should be directed to the APS or RFA so that they can follow the instructions provided in the posting.

10. Notice of Funding Opportunity (NFO)

The project will utilize two types of NFOs: Request for Application (RFA) and/or Annual Program Statement (APS). See ADS 303.3.5.2 for further information (<https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>).

a. Request for Application (RFA)(See Annex E)

A RFA is used when the intent is to provide assistance for an activity or methodology that supports or is in keeping with project objectives. All RFAs are recommended to be available to receive applications for at least 60 calendar days, but no less than 30 days unless extenuating circumstances exist.

b. Format

The format for an RFA and APS are the same and are already prepared for the project in the templates provided.

- Section I – Program Description
- Section II – Award Information
- Section III – Eligibility Information

- Section IV – Application and Submission Information
- Section V – Application Review Information
- Section VI – Award and Administrative Information
- Section VII – Awarding Contacts
- Section VIII – Other Information

c. Pre-Releasing of Information

Prior to the release of an APS or RFA it is recommended, though not required, that the project hold a pre-release conference to discuss the program description and to take questions on the program description. In such cases, the program description would be in 'DRAFT' format and would be finalized after the conference to account for key points brought up in the conference.

d. Release of NFO

After the RFA has been finalized, the team will share the RFA with potential grantees identified by the client:

C. Pre-Award

1. Pre-Application Conference

Once a RFA is shared with potential grantees, it is recommended, though not required, that the project team hold a conference with potential applicants to discuss the details of the NFO as well as take any questions on the contents of the NFO that require clarity. If it is the decision of the project team to conduct such a conference, the details would be provided in the NFO.

The conference is to be organized and managed by the grants team, led by the Enrichment Manager. The COP, technical, procurement, and financial team will contribute in the preparation of the conference and must all be present to assist the grants team with facilitation.

2. Amendments to NFO

Amendments to an NFO typically occur when there are questions to the NFO that need to be addressed or if there are errors in the NFO that need to be fixed. The grants team will manage the process of preparing an amendment, while applicable team members will lend their expertise toward the responses to questions or other components of the NFO as applicable.

3. Receipt of Concepts/Applications

Upon receipt of applications, a member(s) of the grants team will review all required forms and narratives to ensure that required sections of the application submission are complete and that

any deficiencies can be addressed by the applicant if allowed by the RFA. They will confirm eligibility to ensure that the application conforms to the criteria established in the NFO.

4. Special Situations

a. Late/Incomplete Submissions

Late/incomplete submissions may be considered if material is consistent with the terms of the NFO, all are treated equally, and reviewed before any agreements are awarded. The COP must make a determination whether to accept a late/incomplete submission, and it must be documented in the Grant Memorandum of Negotiations by a member of the grants team.

b. Unsolicited Application

As discussed in Section VII.B.8, if an unsolicited application fits an existing RFA or APS, the Enrichment Manager will notify the COP, and instruct the applicant to review either the RFA or APS, and follow the directions in either document.

In the event that the application does not fit within the scope of a currently published APS and/or RFA, then an award can be made when the application (1) demonstrates a unique, innovative, proprietary program; (2) represents an appropriate use of USAID funds to support or stimulate a public purpose; and (3) fits within an existing objective of the program objective(s). **Please note that a selection committee will be required to evaluate the unsolicited applications technical and cost aspects.**

c. Cancellations

Cancellations should occur when it is in the best interest of the stakeholders involved. If a cancellation occurs, the COP with assistance from the grants team, must return any applications received, and issue a notice of cancellation with an explanation for the cancellation. While no grant was awarded from the NFO, a grant file was started. The grant file should be documented indicating the reason for cancellation, the number of applications received, from whom the applications were received, how the applications were returned to the applicant, on what date the application was returned, and a copy of the cancellation notice should be included. All this information can be captured in the grants memorandum of negotiation.

5. Review of Applications

After the grants team has reviewed all applications for compliance against the RFA, the Enrichment Manager will convene the Source Selection Committee via a meeting prior to the SC beginning their evaluations of the applications received. The SC, led by the Enrichment Manager will develop a time line for the completion of the review process. The evaluation of applications is two part – technical evaluation and cost analysis/realism, and will be led by the

Enrichment Manager. The Enrichment Manager will work with the technical evaluators to ensure that they are maintaining timelines, and that all documentation is accounted for and that said documentation accurately records the process by which grantees were selected.

a. Selection Committee (SC)

The SC will be comprised of three individuals that have the requisite technical expertise and/or knowledge to evaluate the technical application against the selection criteria in the RFA. Two of the members of the committee should be Creative staff members. The members of the SC can also consist of representatives from the client, host country representatives, or someone that has technical expertise appropriate for the purposes of the RFA. One of the two Creative staff members will be the technical lead.

All individuals involved in the review of the applications, particularly SC members will sign conflict of interest and non-disclosure forms prior to receiving the technical applications for review.

The SC will evaluate all applications that are in compliance with the RFA against the selection criteria in the RFA. Each member will individually score the technical applications using the scoring sheet provided in Annex I. SC members will keep the applications and selection information confidential. Once each member has evaluated the applications individually, the designated technical lead will schedule a consensus meeting to discuss each application where members will be able to discuss areas of concern and come to a consensus for each applicant's score. Once consensus has been reached, the technical lead will draft a memo to the grants team explaining the rationale for their decision on the award(s) to be made.

The technical memo documents the process and consensus of each applicant, highlighting any strengths and weaknesses. The report should also highlight any recommended areas for negotiation such as deficiencies or clarification. Upon a review of the SC's recommendation, the Enrichment Manager will prepare a grants memorandum of negotiation either agreeing to the recommended applicants or disagreeing with the recommended applicants. This will then be presented to the COP for final decision on what applicants will receive an award.

b. Cost Review

The grants team will conduct the initial evaluation of cost while the SC is conducting their technical reviews. The evaluation of cost effectiveness consists of cost analysis, cost realism, and cost sharing if applicable. All costs proposed by the applicant should be reasonable, allowable, and allocable.

Costs are deemed to be reasonable when the goods or services and the amount of cost involved reflect the action that a reasonable person would take under the circumstances at the time the decision to incur the cost was made.

Costs are deemed allowable when the costs are deemed to be reasonable and can be charged to the grant. See 2 CFR 200.420 – 2 CFR 200.475 for general provisions for selected items of cost.

Costs are allocable when they are incurred solely to advance the work under the grant, benefit the project or other work in ways that can be approximated through use of reasonable methods, and are necessary to the overall operation of the grantee.

After the SC consensus meeting, the Enrichment Manager will share the cost applications with the SC to review the cost submissions for realism. Upon completing the cost realism review, the SC will share their findings with the Enrichment Manager.

c. Cost Sharing

If required, cost sharing must be evaluated in conjunction with the cost review. Cost sharing refers to the resources a grantee contributes to the total cost agreement, and becomes a condition of the approved award budget. Note that cost sharing cannot be used for agreements where a FAA mechanism is used. If a grantee does not meet their cost share obligation, the total cost of the grant will be affected. When evaluating proposed cost share, the following should be taken into consideration: (1) is the cost share proposed necessary and reasonable; (2) is what is being proposed allowable under cost principles; and (3) can the costs be verifiable in records.

6. Validation of Apparent Successful Application(s)

Prior to making a final determination for award, the COP must be satisfied with the apparent successful applicants proposed program description and financial plan. Additionally, the COP must be satisfied with the grantee's financial resources, payment terms ability to meet award conditions, satisfactory record of performance, business integrity, and that they are qualified under applicable laws and regulations.

7. Negotiations

The COP and/or Enrichment Manager is responsible for reviewing and negotiating adjustments to the grantees application. Negotiations consist of obtaining clarification on the technical/cost application submitted by the applicant. The technical clarifications are identified by the SC, while the cost clarifications are identified by the grants team and the SC.

8. Pre-Award Responsibility Determination

The recommendation or selection of an application in accordance with established announcement criteria does not necessarily guarantee an award. Once the recommendation is

made, applicants must demonstrate that they possess, or have the ability to obtain, the necessary organizational and management competence to comply with award terms and conditions including accountability for funds and/or other assets provided. After the approval of applications and before a grant agreement is issued, the project will assess each applicant and make a “Responsibility Determination” based on the guidance outlined below. The level of scrutiny and review required will be proportional to the complexity and magnitude of the grant program contemplated.

The responsibility determination is based on:

- a. Applicant possesses adequate financial resources, or the ability to obtain such resources, as required during the performance of the award;
- b. Applicant has the required financial management capacity to manage and report on incurred cost, except when the type of instrument is a FAA. This will be assessed based on the applicant’s response to the Risk and Responsibility Assessment (Annex C), which includes a review of the applicant’s recent audited financial statements (if available), projected budget, cash flow, organization chart, and applicable policies and procedures (e.g., accounting, purchasing, property management, personnel), if appropriate.
- c. Applicant has the ability to meet the award conditions, taking into consideration all existing prospective recipient commitments, non-governmental and governmental;
- d. Applicant has a satisfactory record of performance. Generally, relevant unsatisfactory performance in the past is enough to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance, or the applicant has taken adequate corrective measures to assure that they will be able to perform satisfactorily;
- e. Applicant has a satisfactory record of business integrity; and, is otherwise qualified to receive an award under applicable laws and regulations. To ensure that a potential application is “otherwise qualified”, the Enrichment Manager must review potential applicants against several watch lists by entering potential applicants and their representatives into Creative’s Inquiry Database System (CIDS), which is Creative’s internal database maintained by Creative’s Security Department of all vetting actions taken. Once in CIDS, each prospective applicant is vetted through the Visual Compliance Database (VCD), which includes 65 databases and is re-vetted in VCD every day.
Applicants are vetted against databases in the following categories: Export-related Restricted, Denied, and Blocked Persons List; Sanction Programs-related Blocked Persons List; General Services Administration databases; Law Enforcement-related Wanted Persons List; Politically Exposed Persons and Office of Inspector General

databases; International Terrorist, Blocked Person, Wanted, and Entity List; and Export Risk Country Alerts.

- [System for Award Management \(https://sam.gov/SAM/pages/public/searchRecords/search.jsf\)](https://sam.gov/SAM/pages/public/searchRecords/search.jsf) [U.S.G. Excluded Parties List System \(https://www.epls.gov/\)](https://www.epls.gov/) - to ensure that neither the applicant nor its key individuals/officers or predecessor companies is presently suspended, proposed for debarment or debarred.
- [Specially Designated Nationals List \(SDN\) \(http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx\)](http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx) – to ensure that neither the applicant organization nor its key individuals/officers are owned or controlled by, or acting for or on behalf of targeted countries. It also lists individuals, groups and entities such as terrorists and narcotics traffickers designated under programs that are not country-specific. Collectively these individuals and companies are called “Specially Designated Nationals” or “SDNs”.
- [UN Al-Qaida List \(http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml\)](http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml) – to ensure that neither the applicant organization nor its key individuals/officers have been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the “1267 Committee”) as linked to the Taliban, or the Al Qaida Organization.

Being the Prime Recipient, the project will also consider all information about potential grantees of which it is aware and all public information that is reasonably available to it or of which it should be aware, also referencing U.S. Presidential Executive Order No. 13224 (<http://www.treasury.gov/resource-center/sanctions/Programs/Documents/terror.pdf>).

Locally available information (newspapers, radio, television, etc.) may be used to ascertain whether an individual or organization falls within the Executive Order parameters. In other words, the project is not absolved of responsibility for providing support to an individual or organization just because he/she/it doesn't appear on the database searches if staff should have reasonably known that the person or company has committed or pose a significant risk of committing acts of terrorism that threaten U.S. interests.

The COP may make the following decisions depending on the results of the responsibility determination.

- Make the award,
- Deny the recommendation of the Enrichment Manager to approve the award, or

- Award with “special award conditions“(See ADS 303.3.9.2 – High Risk Recipients).

All decisions must be completely documented in the grant memorandum of negotiations and kept in the grant file.

9. High Risk Grantees

The project will use the guidance provided in ADS 303.3.9.2 to determine if a potential grantee is high risk. A grantee will be classified as high risk if their capabilities are determined to be limited or deficient. A determination of high risk will be reported to the COP who will determine if an award can be made. If the COP recommends an award to an organization determined to be high-risk, the following conditions should be incorporated into the grant agreement:

- a. Additional Financial reporting detail and frequency
- b. Technical support and or training
- c. Other measures determined to be appropriate and applicable under the circumstances

If deficiencies or weaknesses are identified and cannot be corrected prior to award, the project will look at either issuing an in-kind grant or the grant agreement will be made contingent on additional Special Award Conditions (SAC). The SAC will mitigate the risks posed by the deficiencies or weaknesses. This includes but is not limited to the following:

- a. Additional follow-up reviews to monitor progress and verify compliance with the SAC; and
- b. Continuation of the project is contingent upon the grantee correcting the reported deficiency within a specific timeframe identified in the grant agreement

Any special award conditions will be documented in detail in the Grant Memorandum of Negotiations and reflected in the grant agreement. Project staff will have a plan for monitoring the grantee to ensure compliance with the SAC.

10. Pre-Award Certifications, Assurances and Other Statements of Grantee

The grants team will review the pre-award certifications, assurances and other statements of the grantee prior to making an award. The pre-award certification, assurances, and other statements of the grantee will have been completed by the grantee along with their application. Therefore, a copy of the necessary pre-award certifications, assurances and other statements of the grantee will have been provided along with the RFA for the grantee to review and complete. The certifications, assurances and other statements of the grantee should be included as an attachment to the grant agreement.

11. Registration/DUNS

Prior to making an award to a grantee, a member of the grants team must verify that a grantee is registered locally. Creative will only award grants to registered grantees unless an exception has been provided by USAID. Furthermore, a grantee is required to have a registered DUNS number prior to receiving an award, unless an exception has been provided for by USAID. A member of the grants team will assist a potential grantee in obtaining a DUNS number, if necessary. Prospective grantees should visit the following website to register for a DUNS number:

<http://fedgov.dnb.com/webform/pages/CCRSearch.jsp>

12. Award

The award can only be signed by one of the individuals identified in Section IV.B.2 or an individual that has been delegated such authority in their absence. All relevant documentation required to make an award should be completed.

13. File Documentation

The grants team is responsible for maintaining the official grant file with all applicable documentation from the pre-solicitation phase through the post-award administration phase. The grants team can utilize the grants file checklist (Appendix Q) as a guide. The list contains/will contain essential documents to demonstrate that each grant was successfully completed and that funds were spent prudently with costs justified. The file should be detailed/organized for ease of navigation.

D. Post-Award

Grant awards will be administered in accordance with the requirements in ADS 303, 2 CFR 200, 2 CFR 700, the Standard Provisions, ADS 308 and other provisions of the Contract and applicable Federal law.

Grants administration encompasses all transactions between the project and the grantee from the time the award is made until the end of the project's support. The nature and extent of administration will vary from award to award. It can range from reviewing and analyzing performance reports, to performing site visits, to a more technically developed involvement in project implementation. The Grants team will serve as the mandatory control point of record for all official communication dealing with grant administration. Meaning, if there are any concerns related to the contents of the grant agreement that require interpretation, such concerns should be brought to the attention of the grants team so that they can be addressed.

The grants team will provide continuing oversight in coordination with appropriate project staff of the financial management aspects of the award through reviews of reports, correspondence, site visits or other appropriate means. All grants are subject to audit.

Grants are subject to the provisions established and included in each grant agreement. The Enrichment Manager will determine that the award does not contain administrative approvals that conflict with the grant provisions, stated regulations and or policies.

The grants team is responsible for processing all award agreement modifications, suspension and termination actions. Documentation of grants administration will be kept in the grant's master file.

1. Start-Up

a. Unsuccessful Applicants

The grants team will prepare unsuccessful applicant letters to unsuccessful applicants that will briefly describe why their application was not selected. The letters will be signed by the COP. Within 10 days of receiving the letter, an unsuccessful applicant may send a written request for additional information to the Enrichment Manager. Additional information may be provided at the discretion of the COP, and the response can be orally or in writing. For example, if it is not the best interest to respond, or time does not allow for a response. Should the COP decide to move forward with a response, the response should be provided within 30 days of receiving the request from the unsuccessful applicant. Any response should be limited solely to the unsuccessful applicant's application, and not be compared to other successful applicants. Responses should be informed by the SCs evaluation of the unsuccessful applicant.

b. Orientation Conference

The Enrichment Manager, COP, technical staff, and anyone else considered to be relevant to the grants process will host a post-orientation conference. The purpose of the conference is to ensure that everyone has a clear and mutual understanding of all the award requirements. Additionally, this is an opportunity to identify and resolve potential problems or disagreements prior to the commencement of performance. Common topics at the conference could be (1) roles and responsibilities of Creative personnel, (2) unusual or significant agreement requirements, (3) reporting requirements, (4) potential issues and what corrective actions are available, (5) authority to make site visits and monitor performance, (6) requirements for pre-approval such as change in program description, (7) personnel or funding requirements, (8) special provisions, (9) funding/payment process, property management, and (10) construction (if applicable).

After holding the orientation conference, the grants team will prepare a report outlining what was discussed, and will disseminate it to the relevant parties, as well as place a copy in the grant file.

c. Federal Funding Accountability and Transparency Act (FSRS)

2. Implementation

a. Monitoring and Evaluation

Morocco RFS will use a variety of mechanisms to monitor grantees' performance including evaluating end-of-activity results, conducting site visits of activities underway, and reviewing periodic reports. Grantees are required to report data to feed into the project's Performance Monitoring Plan.

The grantee is required to submit periodic progress and financial reports, as detailed in the grant agreement. These reports are key to transparency, accountability, and responsibility that must be maintained for a mutually beneficial arrangement between the program and the grantee during the duration of the grant. These reports are important management tools allowing Creative to monitor the grantee's program performance.

The technical team, the programs Enrichment Manager and COP are responsible for verifying that reports are received on time, reviewed for completeness, and for monitoring progress against set benchmarks. If there are problems in implementation, a report is incomplete, and/or the verifiable program milestones have not been met, the Enrichment Manager will bring these issues to the attention of the COP. The COP will decide the appropriate action to be taken, including but not limited to termination of the grant, a financial audit, and/or legal action.

The grant agreement will specify the reports required for a given grant. In addition to financial and progress reports, grantees may also be required to submit the following:

- Final report: The grantee is obligated to submit to Creative final technical progress and financial reports. Creative reserves the right to withhold final payment pending submission of an acceptable grant completion report;
- Monitoring and Evaluation Data (M&E) as applicable; and
- Report on Host Government Taxes

b. Site Visits

Site visits provide an effective review of the project and should be done jointly with a member of the grants team and technical team if feasible. The frequency of visits will depend on the level of risk the grantee possesses and availability of Creative team members. After each visit, a brief report talking to the visit should be drafted and included as a part of the official grant file.

c. Delivery of Goods and/or Services

Morocco RFS will be responsible for the delivery of goods and/or services to the grantee under an in-kind grant. Delivery of goods/services can happen at one time or can happen periodically, spread out over the course of the grant agreement. For each delivery of goods/services that takes place, the grantee must verify acceptance of delivery by signing and dating the acceptance form that can be found in the in-kind grant template.

d. Financial Controls

Grantee's will be required to maintain books, records, documents, and other evidence of financial transactions as detailed in the grant agreement. Accounting records and supporting documentation must, at a minimum, demonstrate that all costs incurred under the grant are allowable, reasonable and allocable.

Grantees are also subject to regular and periodic monitoring visits and reporting requirements. Quarterly/Monthly expense reports must be submitted to the grants team, as specified in the grant agreement, except for FAAs where the payment schedule is defined based on the delivery of milestones. Grantees are also required to submit a final financial report on activities and expenses incurred during the implementation of the grant, except for FAAs.

Grantees are required to maintain records for a minimum of three years so that accounting records are available for review by appropriate representatives of USAID or Creative. Grantees are also subject to USAID and/or Creative audit.

Grantees are required to report their cost-share contribution through required financial reports accompanied by supporting documentation as described in the Standard Provisions for Non-US Nongovernmental Organizations.

Creative will closely monitor overruns in cost/expenditure categories or main line items. If major budget shifts are anticipated or observed, Creative will prepare a modification to the existing grant agreement. Budgets can be revised for up to 10% shifts in between major budget lines of the total budget, but must be in accordance with 2 CFR 200.308.

Creative will ensure that grantees comply with the Standard Provisions for Non-US Nongovernmental Organizations regarding the audit ceiling. That is, if a grantee expends a combined total of \$750,000 or more in all USAID awards, excluding Fixed Amount Awards, the

grantee must have an annual audit in accordance with ADS 591 (<https://www.usaid.gov/sites/default/files/documents/1868/591.pdf>).

i. Disbursements

During the pre-award responsibility determination, Creative will evaluate the grantee's financial and management capability and verify the grantee's financial responsibility and institutional capacity. Based on the results of the pre-award responsibility determination, Creative will ensure, at a minimum that the grantee's financial control systems permit them to identify, segregate, accumulate and properly record all costs incurred under the grant. Creative will make every effort to determine the grantees ability to manage and financially support the grant award.

Cash payments will be provided in such a way as to minimize the potential for waste or fraud. Reimbursement based on the presentation of receipts and other justifying documents is the preferred method of payment. The two methods of cash disbursement are described below:

Advance Payments: In order to minimize risk, the disbursement of advances will be on a minimal basis. To qualify for advance payments, the grantee's accounting and financial management systems must conform to standards for funds control and accountability as established in ADS 636 (<https://www.usaid.gov/sites/default/files/documents/1868/636.pdf>). Grantees are free to use their existing accounting systems, so long as they meet the applicable standards as set forth in the CFR and the applicable Standard Provisions. Creative will also use the following guidance for advance disbursements:

- a. Grantees should liquidate any prior advances before new advances are released;
- b. Advances will be limited to the minimum amounts needed to meet current disbursement needs and only if a pre-award determination of responsibility has been made;
- c. The grantee will maintain advances of USAID funds in interest-bearing accounts, unless:
 - i. The grantee receives less than \$120,000 in USG awards per year;
 - ii. The best reasonably available interest-bearing account would not be expected to earn interest in excess of \$250 in a twelve-month period on USG cash balances; or
 - iii. The bank would require an average or minimum balance so high that it would not be practical to maintain the advance in an interest-bearing account.
- d. The grantee may retain up to \$500 of interest earned in a twelve-month period on USG cash balances for administrative expenses. Any additional interest earned on advances must be remitted to Creative.

Following budget negotiations and the signing of a grant agreement, the grantee may submit a Request for Advance Payment to receive the first advance payment. Advance payments made by *Morocco RFS* must be approved by Creative's HQ Controller.

Reimbursement: If a grantee's financial management systems do not conform to standards for receiving advance payments, the grantee is eligible for reimbursement upon submission and approval of receipts. As benchmarks are achieved, the grantee can submit to Creative a Reimbursement Request form. Each reimbursement will state the total costs for which reimbursement is being requested. The grantee will attach all receipts and other appropriate documentation.

e. Indirect Costs

In pertinent cases, Creative will honor the Negotiated Indirect Cost Rate Agreement (NICRA) that grantees have with a U.S. Agency, as per the Standard Provisions for Non-US Nongovernmental Organizations, unless otherwise stated in the Grants Manual. **Note that indirect costs are not allowable under a Simplified Grant.**

On the other hand, if a Grantee does not have a NICRA and the indirect costs are not included as other direct costs in the budget, the Grantee, upon written approval by the project, can charge an indirect cost rate if the rate can be substantiated by documentation per guidance in the Standard Provisions for Non-U.S. Nongovernmental Organizations.

Creative will pay the grantee a fixed amount to cover indirect costs, for the following cost elements:

- a. common costs that benefit the day-to-day operations of the organization including categories such as salaries and expenses of executive officers, personnel administration, and accounting;
- b. elements that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses.

In determining the fixed amount, grantees will be required to prorate the cost equitably and consistently across all programs and activities using a base that measures the benefits of that cost to each program or activity to which the cost applies. The bases will be established in accordance with reasonable criteria and be supported by current data.

A grantee that has never received a negotiated indirect cost rate, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. Modified Total Direct Costs (MTDC) are the base to which indirect cost rates are applied. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000.

f. Use and Disposition of Project Income

Morocco RFS will follow the references included in the Grant Agreement and other USAID applicable regulations on program income. Program Income is defined as income earned by the grantee that is directly generated by a supported grant activity or earned as a result of a grant award. Program income can result from activities integrally related to the grant or from activities which are incidental to the main purpose of the grant. Examples of program income include:

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

Grantees will be required to inform the Creative of any program income generated under the grant and agree to Creative's disposition of program income in accordance with 2 CFR 200.307 and Standard Provisions for Non-U.S. Non-Government Organizations. Program income earned will be applied and used in the following descending order:

- a. Added to funds agreed upon in the grant agreement to further implement the project to achieve additional agreed upon grant program targets;
- b. Used to finance the non-Federal share of the project or program; and
- c. Deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

Grantees can deduct costs incidental to the generation of program income from gross income to determine program income provided these costs have been charged to the award and they comply with the applicable rules for allowable costs under grants. If income is anticipated during an award period, the purpose, procedures and use of the income by the grantee will be clearly stated in the award.

The grantee will have no obligation to USAID or Creative regarding program income earned after the end of the project period unless Creative includes terms and conditions in its grant agreement that state otherwise.

g. Property Standards

If a grant budget includes procurement of equipment, the standard provisions governing title to and use of property will be incorporated into the Grant Agreement to reflect the required Standard Provision for Non-U.S. Non-Governmental Organizations.

Property means real property or personal property.

Personal property means property other than real property. It may be tangible, have physical existence, or intangible.

Intangible property means property having no physical existence, such as trademarks, copyrights, patents and patent applications and property, such as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership (whether the property is tangible or intangible).

Real property means land, including land improvements, structures and appurtenances thereto, but excludes moveable machinery and equipment.

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by Creative for financial statement purposes, or \$5,000.00.

Supplies means all tangible personal property other than those described in the definition of Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by Creative for financial purposes or \$5,000.00, regardless of the length of its useful life.

Any property being purchased for or by the grantee must be used for its intended purpose under the grant it is being acquired or provided for.

For all grants types, *Morocco RFS* will provide guidance to grantees on maintaining property records. At a minimum, property records must account for the following:

- Description of property;
- Serial number or identification number of property;
- Source of funding of property;
- Who holds the title to the property;
- Acquisition date;
- Purchase cost of property;
- Location of property;
- Use and condition of property; and
- Depreciated value of property.

See inventory template, Annex O

If any property is lost, damaged, or stolen, an investigation should be conducted to ascertain why the property was lost, damaged, or stolen, and recorded in the inventory template.

Disposition. Prior to the completion of a grant award, *Morocco RFS* will obtain the inventory list of equipment maintained by the grantee for disposition approval from the (TO) CO for any item of equipment with a current per unit fair market value of \$5,000.00 or more. (TO) CO approval will be facilitated by the contracts department at HQ. *Morocco RFS* will propose whom the property should be disposed to, but typically, it will be disposed to the grantee maintaining the inventory. If there is a residual inventory of unused supplies exceeding \$5,000.00 in total aggregate value, then they too must be approved by the CO for disposition.

Disposition of goods procured under an in-kind grant will follow different disposition instructions, and definitions. Non-expendable property that has an expected service life of two years or more, and which has a unit cost of more than \$500 will required disposition approval from the (TO) CO. Non-expendable property is property which is complete in itself, does not lose its identity or becomes a component part of another article when put into use; it is durable, with an expected service life of two years or more; and which has a unit cost of \$500 or more.

h. Procurement Procedures

Grantees will use their own procurement policies and procedures for the procurement of property and services, provided they comply with the Standard Provisions for Non-US-Non-Governmental Organizations, specifically the provision on Procurement Policies and the USAID Eligibility Rules for Procurement of Commodities and Services and any other guidance provided by Creative.

i. Procurement for In-Kind Grants

Procurement for In-Kind Grants will be conducted by Creative and in compliance with Federal regulation as stipulated in the contract, ADS 302, CIB 92-25 Non-Expendable AID-Owned Property in Contractor's Custody, and Creative's own internal policies.

Non-expendable property is defined as property which is complete in itself, does not lose its identity or becomes a component part of another article when put into use; is durable with an expected service life of two years or more; and which has a unit cost of more than \$500.

i. Branding and Marking

Morocco RFS will ensure that grantees comply with the branding strategy implementation and marking requirements approved by USAID on 02/07/2018 and as detailed in the Standard Provisions for Non-U.S. Nongovernmental Organizations. Marking will follow the "USAID Graphics Standards Manual" <http://www.usaid.gov/branding> and any successive branding policy as detailed in ADS 320 as well as the project's approved Branding and Marking Plan.

Grantee Branding Strategy and Marking Plan

The grantee's Branding Strategy will describe how the program, project, or activity is named and positioned and how it is promoted and communicated. It will also identify all donors and explain how they will be acknowledged. The grantee's Marking Plan will detail the public communications, commodities, and program materials as listed in ADS 320.3.2.4. Grantees will use the Marking and Branding Plan templates attached hereto in Annex N.

If certain circumstances arise and Morocco RFS and the grantee determine that a deliverable needs to be exempt from marking, Morocco RFS will request a marking waiver from the CO. The CO has the authority to determine, in accordance with ADS 320.3.2.6 if marking is not appropriate because it would:

- Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
- Diminish the credibility of audits, reports, analyses, studies or policy recommendations whose findings must be seen as independent;
- Impair the functionality of an item;
- Incur substantial costs or be impractical;
- Offend local cultural or social norms, or be considered inappropriate;
- Conflict with international law; and
- Deter achievement of program goals.

j. Travel

Travel conducted by grantee personnel to and from project sites will be in accordance with the grant requirements and approved by Creative. Local travel must be detailed in the budget and include the following information:

- number of trips;
- number of individuals per trip;
- origin and destination site or region;
- anticipated Scope of Work for the trip; and
- timeline for when the trip will occur.

International travel and transportation are allowable only when needed to accomplish the objectives of the project. If international travel is deemed pertinent to the project each international trip must be approved in the project budget approval. Grantees must provide Creative with the following information if international travel is requested:

- number of trips;
- number of individuals per trip;
- origin and destination country or region;
- anticipated Scope of Work for the trip; and

- timeline for when the trip will occur.

The Contract Officer (CO) may approve, in writing, international travel costs that have not been incorporated in the award. Creative will ensure that grantees comply with restrictions on travel and transportation as detailed in the Standard Provisions for Non-US Nongovernmental Organizations Travel and International Air Transportation.

k. Payment Methods

i. In-Kind Grants

Payments are not made directly to a grantee under an in-kind grant. Creative manages the processes of procuring goods and/or services on behalf of the grantee. Therefore, payments are made directly to the vendor and/or individual, by Creative, for the goods and/or services acquired.

ii. Fixed Amount Awards

Payments under a FAA occur after deliverables under a milestone have been verified and accepted by Creative. Upon completing a milestone, a grantee will submit a request for milestone payment (see FAA template). The grantee will provide all the deliverables associated with that milestone along with their request. The verification and acceptance of the deliverables will be conducted by technical personnel prior to the request for milestone payment going to finance. Prior to finance making payment, finance will additionally verify that a technical member has completed verification and acceptance of the deliverables in accordance with the FAA agreement. **If a grantee has not provided/completed all deliverables under a milestone plan, HQ grants should be consulted prior to making any payments.**

iii. Simplified/Standard Grants

Simplified and standard grant payments are made on a cost-reimbursable basis. Therefore, a grantee will submit, monthly, a voucher for payment, along with receipts, that highlights the costs incurred against their approved grant budget. A technical person, along with a member of the grants team will review the voucher to ensure that all costs incurred were reasonable, allowable, and allocable. After verifying that all costs were reasonable, allowable, and allocable, the voucher will be submitted to finance for payment. **Note that for simplified grants, indirect costs are not allowable.**

l. Modifications

When modification to a grant agreement are required, the technical team prepares the necessary documentation to support the modification. The grants team processes and completes the request, and the modification is signed by the appropriate signatory for Creative

according to the authority matrix. Please note that modifications may require client approval prior to execution. Any modifications to the program description, period of performance, and increases in the total estimated cost must take eligibility issues into account. A grant memorandum of negotiations is to be completed by a member of the grants team to capture the purpose of the modification as well as any negotiations that may have taken place.

m. Audits

If at any point Creative believes the grantee is not in compliance with financial, procurement, property management, or other aspects of the grantee records, we may initiate a request for audit.

n. Remedies for Correcting Non-compliance

Any changes to the grant agreement must be officially executed via a modification. There may be times where a grantee is not performing in compliance with their grant agreement. In such cases, the Enrichment Manager should consult with HQ grants. Available courses of actions include developing a corrective action plan for the grantee to comply with and/or limiting future funding or extensions to the grantee. If the grantee is not compliant, Creative may withhold payments pending corrective action by the grantee, disallow all or part of the cost of the activity or action not in compliance, wholly or partly suspend or terminate the award, withhold future awards to the grantee, or take legal action. A grants memorandum of negotiation must be drafted to describe the nature of the modification and to justify the necessity of the modification.

o. Suspension or Termination

Creative may choose to suspend or terminate an award for cause in whole or in part if the grantee is failing to comply with the terms and conditions of the award, the client agrees with Creative's proposed action, and Creative and the grantee agree upon the termination conditions, including the effective date, and in the case of partial termination, the portion to be terminated.

Suspensions, terminations, or stop work orders should only be imposed if it is in the best interest of the program, and not to be used as a punishment.

The grants team is responsible for processing all award suspensions, terminations, or stop work orders. Such actions need to be taken by written notice to the grantee from the COP. At times, it may be necessary for security to be involved with such actions.

If a grantee is found to be non-compliant with their grant agreement, the Enrichment Manager should notify the COP of the non-compliance, and then contact HQ grants to receive guidance on next steps.

3. Closeout

a. Completion

Upon completion of the award, Creative and the grantee must complete the following:

- The grantee must sign a certificate of completion;
- Creative must obtain the final inventory of equipment from the grantee for disposition approval with the client;
- Any final deliverables, such as final reports must be provided by the client in accordance with their grant agreement; and
- A final modification, if applicable, will occur if there is money to be de-obligated from the grant agreement to lower the final cost to the actual amount of costs incurred by the grantee.

b. De-obligating Funds

There will be occasions where the negotiated cost of a grant agreement will not be met due to cost savings or an inability to complete certain requirements of the agreement. In such cases, remaining funds will be de-obligated. Timely de-obligation allows funds to be re-issued for new requirements, upward adjustments to old obligations, or for re-obligation. A de-obligation is executed via an official modification to the grant agreement. Meaning the total amount of the grant agreement must be modified to account for the actual amount spent, and should be signed by the COP and grantee at the time the certificate of completion is signed.

c. Closeout

Closeout is the final step in the post-award grant administration phase, and fully completes the grant. Closeout verifies that the grant activity is physically complete by obtaining all forms, reports, and clearances required for closeout. Furthermore, it ensures that Creative and the grantee have met all the applicable terms and conditions of the grant agreement.

An award is ready for closeout when all deliverables have been accepted, reports provided, disposition taken place, period of performance has expired, the total award amount has been expended, and/or the grantee has complied with all term and conditions and we have confirmed acceptance.

Closeout begins with the requirement of the grantee to submit, within 30 calendar days after the date of completion of the award, all financial, performance, and other reports required by the terms and conditions of the award.

The grants team is responsible for managing the close out process by coordinating with procurement, technical, and finance to obtain all necessary information for closeout.

Morocco RFS will close grants upon receipt from the grantee the Certificate of Completion in accordance with 2 CFR 200.343. Grantees are required to provide written certification that the activity has been fully completed within 30 days of activity completion.

Grant closeout for Fixed Amount Awards is accomplished with acceptance of the final milestone, approval of final payment, and the Grantees submission of written certification activity completion. In-kind grant closeout will be accomplished upon completion of all activities and receipt of USAID approval for formal disposition of equipment to the grantee, as well as grantee acceptance, in writing, of said equipment.

Creative will ensure that grantees comply with all requirements for closeout and will include information on grant closeouts in the monthly report of grant activities.

d. File Disposition

The grants team is responsible for overall management of the grant files. They are responsible for the proper retention, disposition and destruction of awards (if applicable).

Creative will act as a custodian for USAID of all records relating to grants under the grants program. Creative will preserve all records with respect to its grant-making from solicitation to project closeout and will comply with USAID's records retention requirements and Creative's Document Retention Schedule as described in the Creative's Field Manual.

e. Records Retention

Creative will act as a custodian for USAID of all records relating to grants under the grants program. Creative will preserve all records with respect to its grant-making from solicitation to project closeout and will comply with USAID's records retention requirements and Creative's Document Retention Schedule as described in Creative's Field Manual. USAID is allowed to have access to Creative's records for up to three years after the end date of the grant. The grantee will comply with these same conditions.

VIII. ANNEXES

A. Grants Process Cycle

- B. Grant Memorandum of Negotiations
- C. Risk and Responsibility Assessment
- D. Fixed Amount Award Entity Eligibility Checklist Template
- E. Request for Application (RFA) Template
- F. Grant Application Template
- G. Grants Budget Template
- H. Certifications, Assurances, and Other Statements of the Recipient
- I. Selection Committee Evaluation Sheet
- J. In-Kind Grant Template
- K. Fixed Amount Award (FAA) Template
- L. Simplified Grants Template
- M. Standard Grants Template
- N. Marking and Branding Plan Template
- O. Project Inventory Template
- P. Grants File Checklist Template
- Q. Grants Closeout Checklist

ANNEX A – GRANTS PROCESS CYCLE



CREATIVE

**GRANTS PROCESS CYCLE
TEMPLATE**

DETAILED GRANT MANAGEMENT CYCLE

Pre-Award

Step 1: GM develops *Request for Application (RFA)* and coordinates with M&E Manager to review the M&E guidance.

- a. GM ensures that all necessary reviews and approvals are completed in the field e.g. COP
- b. COP submits to USAID for approval (as applicable)

The RFA must include the application packet to include budget template, work-plan, marking and branding etc.

Optional: An optional step is to issue a Request for Expression of Interest (REI) before an RFA is issued. This is done just to assess if there is any interest in this kind of an activity or if there are capable applicants available. If there is no response to the REI, it may indicate that the program needs to be adjusted or you may need to publish the announcement in different media.

Step 2: GM drafts the *RFA Public Announcement* to be published in the following media:

- a. Local newspapers
- b. Applicable websites
- c. Other sources (USAID may have a preference or recommendations where it should be published)

RFAs can be several pages long. In that case the GM can prepare a *Public Announcements* to post in newspapers. The Public Announcement should include information how interested parties can obtain the full *RFA*.

Step 3: Applicants prepare & submit applications by the deadline noted in the *RFA*

- a. Technical team responds to technical questions from applicants
- b. GM responds to administrative, financial and contractual questions

Optional: In some cases it may be necessary to hold a pre-application conference to go over the RFA and application packet with potential applicants, if they are not used to applying for USAID funding or due to programmatic complexities.

Step 4: GM receives applications and does the following:

- a. Reviews all applications received against minimum requirements in the RFA
- b. Vets all applicants against SAM, SDNL & UN Al-Qaida List through Visual Compliance
- c. Prepares applications for Technical Evaluation (TEC) and Cost Analysis
- d. There should be at least 2 staff on the TEC, sometimes it may also include someone from USAID and or the local community etc.
- e. Provides TEC with *Application Review and Evaluation Form* and applications
- f. If an application is rejected, the GM prepares a rejection letter. The COP should sign the rejection letter.

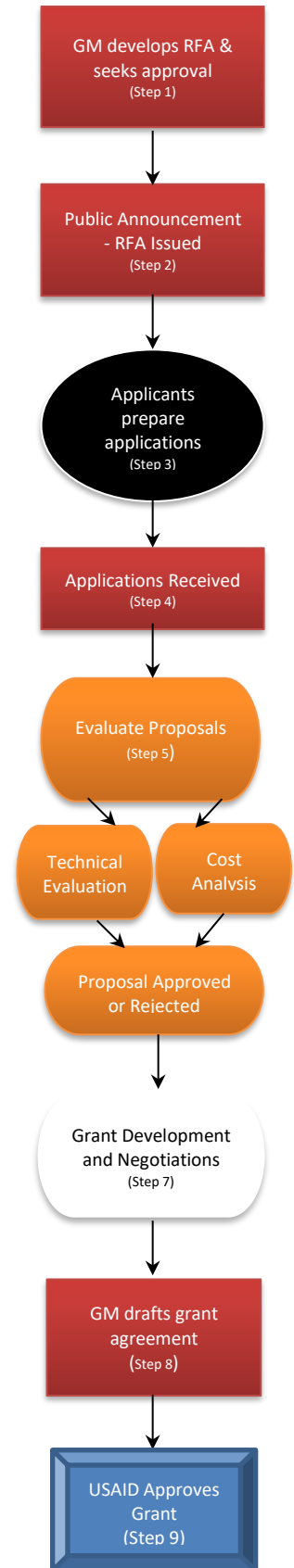
Step 5: Technical Evaluation Committee Review and Cost Analysis

- a. TEC reviews all applications and summarizes the results in the *TEC Memo*.
- b. GM does a cost analysis on the budget. GM ensures that costs are allowable and reasonable and initiates the *Grant Negotiation Memo*
- c. If an application is approved, the GM prepares an *Award Letter* to send to the applicant informing the applicant of the approval. The COP should sign the letter.

Step 6: GM completes the Responsibility Determination:

- a. Completes the *Grant Negotiation Memo*, to include the determination of type of grant will be awarded. If the grant is a FOG, then the *FOG Eligibility Checklist*. For other types of grants, the *Financial & Management Capability Questionnaire* should be completed.
- b. Completes the *Proposal Competition Record*
- c. Completes the *Environmental Review Form, if applicable*

Step 7: Grant development and Final Negotiations with Applicant



- a. GM/Technical lead work with Grantee on any outstanding revisions or changes that needs to be made to the proposal, budget, and or work-plans, Branding and Marking plan before grant agreement is drafted.

Step 8: GM drafts grant agreement and ensures the following:

- a. Grant Agreement template is up-to-date
- b. All appropriate Standard Provisions are attached
- c. All appropriate Certification and Assurances are already signed or are attached to the grant agreement
- d. Budget, Branding and Marking Plan are attached
- e. Reviews document for quality accuracy and prepares for signature

Step 9: USAID approval of grant (this step can be moved earlier in the process if needed)

Application packet sent to USAID for approval, to include

- a. Proposal and budget
- b. Clearance form
- c. Draft Grant Agreement
- d. Other documents as requested by USAID

Post-Award

Step 10: GM schedules a meeting with Technical Lead to discuss the monitoring plans for the grantee.

It is important to clarify roles and responsibilities to ensure that we are proactive in our role in monitoring grantees and **document** the monitoring. This includes, but is not limited to:

- a. Review and approval of financial, program and other reports
- b. Site visits
- c. Attending special events
- d. Phone calls and email
- e. Project close-out visit

Step 11: GM schedules the **Grant Kick-Off Meeting** with the Grantee

GM, technical lead and other staff as needed meet with the Grantee and review the grant agreement, Budget, work-plans, M&E requirements, financial and program reports and clarify expectations on both sides. It is important that the Grantee understand all contractual obligations in the grant agreement, the importance of meeting deadlines for implementing the activity. This is also a good time to establish relationships with the Grantee's staff e.g. financial staff that will prepare reports and project managers.

Step 12: Sub-activity implementation

Reports and communication with the grantee during implementation should be filed in the **Grant Master File**. This includes, but is not limited to financial, narrative and M&E reports, reports from site visits, special events, emails, notes from phone calls etc.

Step 13: Grantee submits final financial, progress and M&E report within 4 weeks of activity completion. GM starts the close-out process

Close-out

Step 14: GM reviews the **Grant Master File** and ensures that all the necessary documents are in the file. GM meets with Technical Lead and others as needed to review final documentation and ensure that the grantee has successfully completed all activities, all reports and data collected are on file. If there are any unresolved issues they must be dealt with immediately.

Step 15: GM initiates the **Grant Close-out Checklist** and ensures that:

- a. Grant **Master File** is up-to-date
- b. Grantee has submitted certification that activity has been completed
- c. All outstanding issues have been resolved
- d. File is complete and ready for audit

Step 16: GM schedules a meeting with finance to go over financial reports and reconciliation of the grant.

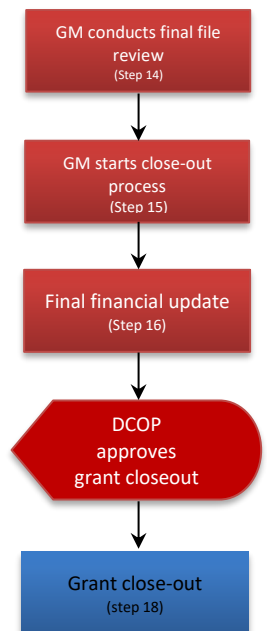
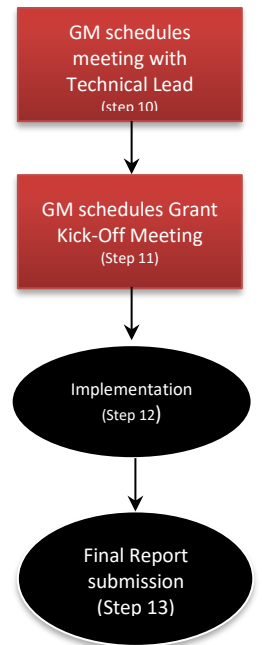
Any outstanding financial issues must be dealt with immediately such as:

- a. Unspent funds should be de-obligated
- b. If Grantee was overpaid, we must request that Grantee return the funds (e.g. working advances in most cases)

Step 17: DCOP approves reconciliation of grant

- a. GM works with Finance to reconcile the grant. Upon completion DCOP should approve the reconciliation.

Step 18: COP, or his/her designee, confirms grant close-out



ANNEX B – GRANT MEMORANDUM OF NEGOTIATIONS



CREATIVE

GRANTS MEMORANDUM
OF NEGOTIATION
TEMPLATE

January 09, 2018

Introduction

The Grant Memorandum of Negotiation is to be a comprehensive document that records the key elements of the grant award decision. It is a complete history of the award process and is a permanent record of events. It serves as the history of how and why the award was made. It establishes the fairness and reasonableness of the award. It should be clear, concise, complete and accurate. It is to be completed by the Enrichment Manager or someone on the grants team under the program. If multiple grant awards are made from a RFA, only one grant memorandum of negotiation needs to be completed.

Instructions

1. Section I, Agreement Summary

Insert as many columns as necessary to account for all the grantees that received an award under the RFA.

2. Section II, Authority to Enter into Grant Agreement

Insert the name of the client that Creative is implementing for. Choose the relationship between Creative and the client. Is it contractual or is it a grant. Insert the contract or agreement number.

3. Section III, Purpose of this Memorandum

Nothing to add here.

4. Section IV, Grant Background

Insert the background information from the RFA.

5. Section V, Eligibility Exceptions

Choose one option for choice of eligibility.

- If Exclusive or predominant capability is chosen, indicate whether they have proprietary resources, specialized facilities or programmatic expertise, or an existing and unique relationship with the cooperating country or beneficiaries. Then indicate what the proprietary resource is, or what the specialized facilities or programmatic expertise is, or what the existing and unique relationship with the cooperating country or beneficiary is.
- If restricted eligibility for efficiency is chosen you must indicate what other options were explored, including other exceptions to eligibility.
- If unsolicited application is chosen, indicate what the unique, innovative, or proprietary program idea is.
- If follow-on awards and extensions is used, it must be explained why the benefits of continuing the assistance activity with the same recipient exceeds the benefits of a competitive process. Additionally, if follow-on is the reason for continuing the relationship, the follow-on award must be awarded no more than 3 months after the original award ended.
- If Client Directed is chosen, be sure to as the client the reason for directing funding toward the grantee.
- If other is chosen, indicate the reason.

6. Section VI, Discussion

- Overview of the grants process. Fill in the yellow sections as applicable. If any of the yellow sections do not apply, then delete them.
- Selection Committee Methodology and Scoring – Fill in the yellow section as applicable.
- Summary of technical scores and rankings – Include a chart with all the applicants and their scores in order of the most highly scored to the lowest.
- Summary of Cost Applications Evaluation – Include a chart with all the applicants and their total estimated cost from highest lowest to highest. Complete the yes/no questions for each applicant. Therefore, the cost questions should be copy/pasted as many times as necessary to capture each applicant.

7. Section VII, Negotiations

For each grantee that were engaged in negotiations, indicate what questions were asked to clarify their technical/cost applications, what their responses were, and if the technical evaluation team found the responses to be reasonable.

8. Section VIII, Pre-Award Risk Assessment

A pre-award risk assessment must be completed for each grantee being considered for an award. Copy and past the list as many times as necessary to account for each grantee under the RFA being considered.

9. Section IX, Choice of Grant Type

Group the grantees

10. Section X, Responsibility Determination

If one award is being given, indicate the type of grant being awarded to the grantee. If multiple grant awards are being made, list the grantees under the respective type of award they are receiving. There may be instances where a grant agreement is being chosen that goes against the pre-award risk assessment due to circumstances. If this is the case, please explain why under this section.

11. Section XII, Signatures

Anything in this template that is highlighted in yellow should either be removed or replaced with its applicable information.

Grant Memorandum of Negotiations

I. AGREEMENT SUMMARY

The following grantees received an award under Request for Application (RFA) # [INSERT RFA #]:

Grantee Name	[INSERT NAME OF GRANTEE]	[INSERT NAME OF GRANTEE]
Title of Grant	[INSERT TITLE OF GRANT]	[INSERT TITLE OF GRANT]
Grant Number	[INSERT GRANT NUMBER]	[INSERT GRANT NUMBER]
Grant Type	[INSERT GRANT TYPE]	[INSERT GRANT TYPE]
Address	[INSERT NAME AND ADDRESS OF GRANTEE]	[INSERT NAME AND ADDRESS OF GRANTEE]
DUNS Number (if applicable)	[INSERT GRANTEE'S DUNS NUMBER IF APPLICABLE]	[INSERT GRANTEE'S DUNS NUMBER IF APPLICABLE]
Grantee Representative Name, Phone #, E-mail	[INSERT NAME OF GRANTEE REPRESENTATIVE, THEIR PHONE # AND E-MAIL ADDRESS]	[INSERT NAME OF GRANTEE REPRESENTATIVE, THEIR PHONE # AND E-MAIL ADDRESS]
Period of Performance	[INSERT THE PERIOD OF PERFORMANCE OF THE GRANT]	[INSERT THE PERIOD OF PERFORMANCE OF THE GRANT]
Total Estimated Cost in LC and USD	[INSERT THE TOTAL ESTIMATED COST OF THE GRANT IN LOCAL CURRENCY AND UNITED STATES DOLLAR]	[INSERT THE TOTAL ESTIMATED COST OF THE GRANT IN LOCAL CURRENCY AND UNITED STATES DOLLAR]
Place of Performance (if applicable)	[INSERT THE PLACE OF PERFORMANCE IF APPLICABLE]	[INSERT THE PLACE OF PERFORMANCE IF APPLICABLE]

II. AUTHORITY TO ENTER INTO GRANT AGREEMENT

[INSERT NAME OF CLIENT] [CHOOSE CONTRACT OR AGREEMENT] number [INSERT CONTRACT OR AGREEMENT NUMBER].

III. PURPOSE OF THIS MEMORANDUM

The purpose of this memorandum is to provide a record of events leading to the award decision. It includes the Selection Committee's (SC) findings and recommendations related to their review of the application(s), and the results of the cost evaluation, including a cost analysis and cost realism analysis for each application received.

IV. GRANT BACKGROUND

[INSERT BACKGROUND FROM PROGRAM DESCRIPTION IN RFA AND/OR GRANTEE'S APPLICATION]

V. ELIGIBILITY EXCEPTIONS (if applicable)

- N/A (meaning full & open competition took place)
- Exclusive or Predominant Capability – A sole source or limited competition took place because the organization(s) have [proprietary resources, specialized facilities or programmatic expertise, an existing and unique relationship with the cooperating country or beneficiaries].
- Small Grants (USAID Only)

- Restricted Eligibility for Efficiency (USAID Only)
- Unsolicited Applications – An unsolicited application was received that clearly demonstrates a unique, innovative, or proprietary program; represents an appropriate use of funds to support or stimulate a public purpose; and fits within the needs of the program. In addition, the unsolicited application does not fit under an existing APS or RFA or is not something that the program is already considering. **[INSERT WHAT THE UNIQUE, INNOVATIVE, OR PROPRIETARY PROGRAM IS]**.
- Follow-on Awards and Extensions – Follow-on or Extension was used because the benefits of continuing the assistance activity with the same recipient exceeds the benefits of a competitive process. **[INSERT WHAT THE BENEFITS ARE]**.
- Client Directed – **[INSERT WHY THE CLIENT WANTED US TO AWARD TO THE GRANTEE]**
- Other **[INSERT THE REASON FOR OTHER]**

VI. DISCUSSION

A. Overview of the Grants Process

On **[INSERT DATE RFA WAS RELEASED]**, Creative issued the **[INSERT NAME OF THE RFA]** RFA on/at **[INSERT BY WHAT MEANS THE RFA WAS RELEASED, I.E. NEWS PAPER, CONFERENCE, ETC.]** requesting applications for the required program description.

On **[INSERT DATE OF CONFERENCE]** Creative hosted a pre-award conference at **[INSERT LOCATION OF CONFERENCE]** to discuss the details of the RFA. An agenda (if applicable), presentation slides (if applicable), notes and attendance list for the conference can be found in Section **XX** of the grant file.

Creative issued **[INSERT NUMBER OF AMENDMENTS ISSUED]** to the RFA:

- **[IF APPLICABLE]** Amendment No. 1 was issued on **[INSERT DATE AMENDMENT WAS ISSUED]**, and amended:

[INSERT WHAT WAS AMENDED IN THE RFA]

[ADD ADDITIONAL AMENDMENTS AS NECESSARY]

Applications were due on **[INSERT DATE]**. A total of **[INSERT NUMBER]** applications were received, from the following applicants in no particular order:

[INSERT LIST OF APPLICANTS]

Applications were reviewed to assure compliance with the terms and conditions of the RFA by the grants team, and the following applicants were eliminated from the RFA process due to non-compliance:

[INSERT APPLICANTS DEEMED NOT TO BE COMPLIANT WITH THE RFA AND THEREFORE WILL NOT BE EVALUATED, AND WHY THEY WERE ELIMINATED]

B. Selection Committee (SC) Methodology and Scoring

The SC used a standardized approach to evaluate the technical applications. First, SC members independently reviewed each application in accordance with the selection criteria stated in Section V of the RFA, “Application Review Information”.

Each member scored and commented on strengths and weaknesses, providing questions and points of clarification for each applicant.

The SC had a consensus meeting on [INSERT DATE] to discuss the applications. During the discussion, SC members shared their individual rating and narratives, and determined a consensus score for each evaluation factor and clarifications for each evaluation factor.

C. Summary of Technical Scores and Rankings

Below is a summary of the technical scores and rankings of all applicants. Evaluations for applicants can be found in Section [##] of the grant file.

[INSERT CONSENSUS SCORES IN ORDER OF RANKING]

D. Summary of Cost Application Evaluation

[INSERT SPREADSHEET WITH APPLICANTS AND TOTAL COSTS PROPOSED BY EACH APPLICANT]

1. [INSERT NAME OF APPLICANT AND PROPOSED ESTIMATED COST]

Labor

- Are the positions listed necessary for this type of activity?
 - Yes
 - No [IF NO, INDICATE WHAT POSITIONS ARE NOT NECESSARY, AND WHY]
- Are all the types of positions necessary for this type of activity accounted for?
 - Yes
 - No [IF NO, INDICATE WHAT POSITIONS ARE NOT ACCOUNTED FOR]
- Are the individuals listed for each position qualified for said position?
 - Yes [IF YES, INDICATE HOW YOU VERIFIED THEIR QUALIFICATIONS]
 - No [IF NO, INDICATE WHY]
- Is the daily rate for each individual listed reasonable for this type of activity?
 - Yes [IF YES, INDICATE HOW YOU VERIFIED THEIR RATE]
 - No [IF NO, INDICATE WHY]
- Is the level of effort for each position appropriate for this type of activity?
 - Yes
 - No [IF NO, INDICATE WHY]

Materials/Supplies/Equipment/Other Direct Costs (ODCs)

- Are the proposed type, quantity, and number of units of each type of materials and/or supplies reasonable and necessary for implementing the activity?
 - Yes
 - No [IF NO, INDICATE WHY]
- Are the proposed costs of materials and/or supplies reasonable?
 - Yes
 - No [IF NO, INDICATE WHY]
- Is the proposed equipment reasonable and necessary for this activity?
 - Yes
 - No [IF NO, INDICATE WHY]
- Is the proposed cost of equipment reasonable?
 - Yes

No [IF NO, INDICATE WHY]

Travel

- Are the proposed trips necessary for the implementation of the activity?
 - Yes
 - No [IF NO, INDICATE WHY]
- Are the proposed number of trips necessary for the implementation of the activity?
 - Yes
 - No [IF NO, INDICATE WHY]
- Is the proposed duration of each trip appropriate and reasonable for the work to be performed under the activity?
 - Yes
 - No [IF NO, INDICATE WHY]
- Are the proposed destinations of the trips reasonable and necessary for this activity?
 - Yes
 - No [IF NO, INDICATE WHY]
- Are the proposed number and types of people traveling appropriate and reasonable for the work to be performed?
 - Yes
 - No [IF NO, INDICATE WHY]
- Are the proposed transportation, lodging, meal rates reasonable?
 - Yes
 - No [IF NO, INDICATE WHY]

Indirect Rates

- Does the grantee propose indirect rates (Fringe, Overhead, G&A)?
 - Yes
 - No [IF NO, SKIP TO NEXT SECTION]
- Are the indirect rates previously negotiated?
 - Yes [IF YES, WITH WHO?]
 - No
- Does the grantee explain how they determined their indirect rates?
 - Yes
 - No [IF NO, APPLICANT WILL HAVE TO EXPLAIN]
- Are the indirect rates correctly applied?
 - Yes
 - No [IF NO, INDICATE HOW]

[INSERT AS MANY INSTANCES ABOVE AS NEEDED TO ACCOUNT FOR EACH GRANTEE'S COST ANALYSIS]

VII. NEGOTIATIONS

On [INSERT DATE], clarification questions were sent to the APPLICANT(s), and the APPLICANT(s) was/were requested to provide their responses by [INSERT DATE].

A. [INSERT NAME OF APPLICANT]

[INSERT AS MANY INSTANCES ABOVE AS NEEDED TO ACCOUNT FOR THE NUMBER OF APPLICANTS]

VIII. PRE-AWARD RISK ASSESSMENT

A. **[INSERT NAME OF GRANTEE]**

- Financial and Management Capability Questionnaire (FMCQ)
- or -
- Fixed Amount Award (FAA) Entity Eligibility Checklist (if applicable)

- Pre-Award Certifications, Assurances and Other Statement of Recipient
- Past Performance
- Creative Inquiry Database System (CIDS)

[IF ANY OF THE ABOVE IS NOT CHECKED, EXPLAIN WHY]

[INSERT AS MANY INSTANCES ABOVE AS NEEDED TO ACCOUNT FOR THE NUMBER OF GRANTEES]

IX. CHOICE OF GRANT TYPE

- In-Kind Grant – In-kind grant agreement being chosen because the grantee(s) have limited to no capacity.
- Fixed Amount Award (FAA) – FAA being chosen because the activity has very specific and defined elements and the cost of the effort is reasonable.
- Fixed Amount Award (FAA) w/In-Kind – FAA w/in-kind being chosen because the activity has very specific and defined elements and the cost of the effort is reasonable, but the grantee does not have a procurement policy.
- Simplified Grant (USAID Only) – Simplified grant being chosen because the grantee has the management and financial systems in place to manage a cost-reimbursable grant.
- Standard Grant – Standard grant being chosen because the grantee has the management and financial systems in place to manage a cost-reimbursable grant.

X. RESPONSIBILITY DETERMINATION

A. **[INSERT NAME OF GRANTEE]**

[BASED ON THE PRE-AWARD RISK ASSESSMENT, WHAT ARE THE BIGGEST RISK CONCERNS IDENTIFIED, AND HOW WILL THEY BE MITIGATED]

[INSERT AS MANY INSTANCES ABOVE TO ACCOUNT FOR THE NUMBER OF GRANTEES]

XI. SIGNATURES

Title	Signature	Date
Enrichment Manager		
Chief of Party		

ANNEX C – Risk and Responsibility Assessment Form



CREATIVE

Sub-Awardee Risk & Responsibility Assessment - Instructions

Template

Sub-Awardee Risk & Responsibility Assessment - Instructions

The Subawardee Risk and Responsibility Assessment will be used to meet Creative and client/donor requirements to conduct due diligence on potential partners and ensure we have completed a responsibility determination. This assessment will be used both for partners named in proposals and/or selected during implementation.

The assessment is made up of 3 parts:

- Cover Page (Word) – administrative and financial summary data. Used for organizations with a NICRA.
- Assessment (Word) –document sent to the organization to collect answers and supporting documentation. Used for organizations without a NICRA.
- Scoring Sheet (Excel) – **internal** document used to verify the external assessment, score the organization’s answers, and automatically calculate the risk level.

THE PROCESS

Proposal Development

- The Creative Teaming Agreement will contain a provision that requires partners to submit the Risk and Responsibility Assessment in order to be included in Creative's proposal, and also reserves the right to include special award conditions as part of any final subaward based on the results of the Assessment. Once the Teaming Agreement is fully executed, the Proposal Coordinator will send the Cover Page to the partner to be completed as soon as possible.
- Potential partners will be asked to fill out the applicable form (Cover Page for organizations with a NICRA, Assessment for those without). Partners with a previous Assessment on file that is more than a six months old, or Cover Page on file that is more than a year old will be asked to update their documents.
- Once completed, the Proposal Coordinator will forward the Cover Page or full Assessment (as applicable) to the the Contracts point of contact.
- The Contracts point of contact will review the Cover Page/Assessment, and translate the answers to the Scoring Sheet which will calculate the risk level. The results of this will be communicated to the Proposal Coordinator, along with guidance on what mechanisms and/or scopes of work will be appropriate for the partner in question, along with any recommended special award conditions.

Implementation After selection, the Enrichment Manager or procurement will send the identified entity (grantee or subawardee) the Cover Page or Assessment to complete (as applicable).

- The procurement or Enrichment Manager will conduct an electronic or in person visit the Subawardee to review supporting documents and verify their responses.
- Once completed, the procurement or Enrichment Manager will translate the answers to the Scoring Sheet which will calculate the risk level.
- The calculated risk level will align with appropriate subaward mechanisms as a basis from which to support the award type with deviations requiring justification and approval from the Home Office Grants or Procurement Department, or Contract Administrator if client approval is required. Creative will reserve the right to include special award conditions in subawards to address weaknesses identified in the Assessment.

Verification:

- While it is possible and sometimes may be necessary to have the full assessment completed through electronic exchanges, it is a best practice to validate the full assessment through site visits.
- When conducting site visits, the evaluator should avoid being "intrusive" during the assessment. Being sensitive to the organization during the assessment is as important as completing the job.

- When conducting site visits, pictures/electronic support documents should also be taken of other documents during the visit such as personnel and accounting records, inventory register, petty cash records, staff meeting minutes, safe/cash-box, office facilities, etc.

Records retention

- Assessments received during the proposal stage will be saved by the Contracts POC in F&C SharePoint, and by the Proposal Manager in Proposal SharePoint.
- Assessments received during implementation stage will be saved in Project SharePoint by the relevant POC (grants, procurement or project team) in the appropriate subfolder for that procurement or grant.

FREQUENTLY ASKED QUESTIONS

When should this Assessment be used?

This Assessment will be used for the following types of subawards:

- Grants and grants under contract (other than in-kind grants)
- Local and international cost reimbursable subcontracts and subagreements

For fixed price procurements, the Assessment is not required, as it is anticipated that proper competition and price analysis had been conducted, and that the payments will be made on the basis of completed deliverables, rather than relying on the financial or management capacity of the recipient.

Once I get a completed Assessment, how long it is valid for?

For organizations with a NICRA, a completed Cover Page will be valid for a period of one year. For organizations without a NICRA, a completed Assessment will be valid for a period of six months.

What do the different risk levels mean?

Once completed, the assigned risk level will be used in the selection of the appropriate mechanism type and justify any special conditions. Please reach out to the Emily Whalen, Contracts Assistance at emilyw@creativcdc.com with any questions.

Score <i>up to</i>	Category	Marks
0	Extremely High Not eligible for award	Nine (9) or more of the 18 Key Requirements are marked - or - Overall score of zero (0) or less
15	High Only eligible for fixed amount award	Overall score of 15 or less

30	Moderately High Eligible for fixed amount award or cost reimbursement with special terms / conditions plus aggressive monitoring plan	If overall score is between 16 and 30
45	Moderate Eligible for fixed amount award or cost reimbursement with special terms / conditions	If overall score is between 31 and 45
55	Moderately Low Eligible for cost reimbursement	If overall score is between 46 and 55
+55	Low Eligible for cost reimbursement	If overall score is higher than 55

Subawardee Risk & Responsibility Assessment – Cover Page

ORGANIZATION			
Legal Name (with acronym):			
Address:			
Representative Name/Title:			
Telephone:			Email:
Organization Type (check all that apply):	<input type="checkbox"/> Non-profit <input type="checkbox"/> For-profit <input type="checkbox"/> State/local government	<input type="checkbox"/> Educational Institution <input type="checkbox"/> Parastatal <input type="checkbox"/> Other	<input type="checkbox"/> US-based <input type="checkbox"/> Non-US based
For organizations that checked both 'for-profit' and 'US-based', are you a small	<input type="checkbox"/> Women Owned Small Business <input type="checkbox"/> Small Disadvantaged Business	<input type="checkbox"/> Service Disable Veteran Owned	<input type="checkbox"/> Hubzone

business? (check all that apply):	<input type="checkbox"/> Veteran Owned Small Business	<input type="checkbox"/> Alaskan Native Corporation and Indian Tribes	<input type="checkbox"/> HBCU and MI
Locally Registered?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Registration Number:	
DUNS Number:	Year Established:		
No. of Employees: ___ Full-time ___ Part-Time ___ Volunteer			
Do you have a Board of Directors?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Number of Board Members:	
Date of last Board Meeting?	Frequency of Board meetings:		
Please provide the full names of people in the following positions:	CEO/President:		
	CFO or equivalent:		
	Board Chairperson:		
FINANCIAL INFORMATION			
Has your organization received funding from any U.S. Government Agency <u>directly</u> in the last 3 years?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has your organization received funding from any U.S. Government Agency as a <u>subrecipient or subcontractor</u> in the last 3 years?		<input type="checkbox"/> No	
Provide the names, contact information, and award reference information for three (3) Funders who can provide references.			
1.	2.	3.	
Does any owner or member of management have a close family relationship (spouse, child, sibling, parent) with a current employee(s) and /or member of a government? If yes, list names and relationship.			
List your annual revenue for the past three years.	<i>Year</i>	<i>Revenue from Awards</i>	<i>Other Sources (i.e. Fundraising)</i>
Current Number of Active Awards:			
What is the average size of contracts or awards, if any, your organization has received in the past three years?			
Does your office use accounting software?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
If so, which product/software do you use?			
Does your organization have a government funder approved indirect, overhead, or administrative rate?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Number of years files are maintained after project close:		___ Financial ___ Programmatic	
CERTIFICATIONS			
<input type="checkbox"/> Subawardee has the technical and financial resources necessary for anticipated performance requirements.			
<input type="checkbox"/> Subawardee certifies that neither it, nor the recruiting firm(s) it may employ, require candidates to pay a fee of any kind for the opportunity to interview or as a condition of employment.			

Subawardee Signature _____

Date _____

Subawardee Risk & Responsibility Assessment

ORGANIZATION			
Legal Name (with acronym):			
Address:			
Representative Name/Title:			
Telephone:	Email:		
Organization Type (check all that apply):	<input type="checkbox"/> Non-profit <input type="checkbox"/> For-profit <input type="checkbox"/> State/local government	<input type="checkbox"/> Educational Institution <input type="checkbox"/> Parastatal <input type="checkbox"/> Other	<input type="checkbox"/> US-based <input type="checkbox"/> Non-US based

For organizations that checked both 'for-profit' and 'US-based', are you a small business? (check all that apply):	<input type="checkbox"/> Women Owned Small Business <input type="checkbox"/> Small Disadvantaged Business <input type="checkbox"/> Veteran Owned Small Business	<input type="checkbox"/> Service Disable Veteran Owned <input type="checkbox"/> Alaskan Native Corporation and Indian Tribes <input type="checkbox"/> HBCU and MI	<input type="checkbox"/> Hubzone
Locally Registered?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Registration Number:	
DUNS Number:	Year Established:		
No. of Employees: ___ Full-time ___ Part-Time ___ Volunteer			
Do you have a Board of Directors?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Number of Board Members:	
Date of last Board Meeting?	Frequency of Board meetings:		
Please provide the full names of people in the following positions:	CEO/President:		
	CFO or equivalent:		
	Board Chairperson:		
FINANCIAL INFORMATION			
Has your organization received funding from any U.S. Government Agency <u>directly</u> in the last 3 years?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Has your organization received funding from any U.S. Government Agency <u>as a subrecipient or subcontractor</u> in the last 3 years?		<input type="checkbox"/> No	
Provide the names, contact information, and award reference information for three (3) Funders who can provide references.			
1.	2.	3.	
Does any owner or member of management have a close family relationship (spouse, child, sibling, parent) with a current employee(s) and /or member of a government? If yes, list names and relationship.			
List your annual revenue for the past three years.	<i>Year</i>	<i>Revenue from Awards</i>	<i>Other Sources (i.e. Fundraising)</i>
Current Number of Active Awards:			
What is the average size of contracts or awards, if any, your organization has received in the past three years?			
Does your office use accounting software?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
If so, which product/software do you use?			
Does your organization have a government funder approved indirect, overhead, or administrative rate?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Number of years files are maintained after project close:		___ Financial ___ Programmatic	
CERTIFICATIONS			
<input type="checkbox"/> Subawardee has the technical and financial resources necessary for anticipated performance requirements.			
<input type="checkbox"/> Subawardee certifies that neither it, nor the recruiting firm(s) it may employ, require candidates to pay a fee of any kind for the opportunity to interview or as a condition of employment.			

Instructions: Select the best single answer to each question, unless indicated otherwise.

A. Accounting and Financial Management

1. Are all bank accounts held in the organization's and not individuals' names?

- Yes, all accounts are in organization's name
- Some accounts are, some are not, but with justification
- Some accounts are, some are not, but no justification
- No, all accounts are in individuals' names and no justification

Comments: _____

2. How often is the financial balance on the bank account reconciled in writing or with verifiable computer software with the general ledger accounts and approved by designated persons?

- At least once a month
- Every quarter
- Less than every quarter, at least once a year
- Never

Comments: _____

3. The organization has a clearly defined and written review process, including a payment request form, for making payments and there is evidence it is followed.

- Yes, with payment request form and it is consistently followed
- Yes, but no form and/or not consistently followed
- No, but there is firm evidence of a consistent process followed over 75% of the time
- No, and there is no evidence of a consistent process

Comments: _____

4. Petty cash expenses are supported by adequate documentation (receipts or other proof of expense).

- Yes, all the time
- Usually, more than 75% of the time
- Sometimes
- Never

Comments: _____

5. How are cash and checks kept safe in the office?

- In a locked safe
- In a locked cash-box or drawer or always locked office
- In box or safe but not used consistently
- Other [includes unlocked office drawer]

Comments: _____

6. Outstanding items on bank reconciliations (such as uncleared payments, bank errors, and missing deposits) are followed up promptly and action is taken and documented.

- Yes
- Usually, more than 75% of the time
- Sometimes
- No

Comments: _____

7. How are new grants/funding recorded?

- Electronic system in Excel or another computer program
- Record keeping book / hardcopy handwritten version with debit/credit information
- Maintained only in separate hardcopy files including funds received information
- No system or consistent approach

Comments: _____

8. Does the accounting system provide for the recording of project costs according to categories of the approved budget?

- Yes, and used consistently
- Yes, but not used consistently
- Yes, but not used at all
- No system

Comments: _____

9. The organization keeps different bank accounts for different projects so as to not mix funds -OR- has a fund accounting system that allows money for each project to be tracked separately.

- Yes, separate bank accounts and separate fund accounting
- Yes, separate bank account or separate fund accounting
- Yes, but the bank account or system is not used consistently
- No

Comments: _____

10. Funds that the organization receives in a foreign currency (US\$, Euro, UK£, etc.) are exchanged into local currency at the bank or other official institutions with the official bank rate and official receipt.

- Always
- Usually
- Never received funds in foreign currency
- Receives foreign currency, but never converts using authorized institutions

Comments: _____

11. There is a written policy about who can approve payments and approvals are done in accordance with that policy.

- Yes
- Have a policy and follow it at least 75% of the time
- No policy but consistent practice followed at least 75% of the time
- No policy or consistent practice

Comments: _____

12. A competitive solicitation process is practiced and justification for the selection of a vendor is documented.

- Yes, and there is a bids analysis form
- Have a policy and follow it, at least 75% of the time, but no form
- Have a policy and follow it less than 75% of the time, and no form
- No policy or recognized practice

Comments: _____

13. There is a written and approved policy on keeping voided documents and they are not shredded or destroyed but retained as support documentation.

- Yes
- Maintains voided documents, but no policy
- Varies or Not Sure
- No

Comments: _____

14. The organization keeps (hard or soft) copies of important files in case the original gets lost or destroyed.

- Yes
- Some specifically identified as important
- Varies or Not Sure
- No

Comments: _____

15. Payroll records show hours (time) worked and salary (salary, benefits, and tax calculations). The payroll and tax data matches the salaries and benefits described in the employment contracts of each staff member.

- Yes, have consistent records and they are checked regularly to make sure they match contracts
- Yes, have consistent records, but do not check to make sure they match
- Have some records, but they are not consistent
- No

Comments: _____

16. There is a segregation of duties when preparing payroll and the person preparing payroll is not the person approving payroll or signing the payments.

- Yes
- Staffing levels don't allow complete segregation of duties but checks in place to offset
- Staffing levels do not allow complete segregation of duties
- No

Comments: _____

17. There is a policy for recording of time worked and paid absences. Records maintained for each employee account for his/her work hours and leave.

- Yes, there is a policy and consistent time/leave recording
- There is no policy but consistent time/leave recording
- There is no policy and inconsistent time/leave recording
- No policy or consistent records

Comments: _____

18. All employees are paid based on standard timesheets. Those timesheets are approved by a supervisor and reviewed by finance/payroll for accuracy.

- Yes, standard timesheets are approved and reviewed consistently
- There is no official template but timesheets are approved and reviewed consistently
- No official template and timesheets are not approved or reviewed consistently
- No official template or review process

Comments: _____

19. All payroll taxes and other deductions are properly calculated in accordance with local regulations and paid to relevant government departments. A receipt is obtained and documented.

- Yes
- Usually
- Inconsistent
- No

Comments: _____

20. The organization maintains its FINANCE files in preparation of potential future audits for at least one year after the project is completed.

- Yes, for more than one year
- Yes, at least one year
- No consistent practice
- No files kept

Comments: _____

21. When applicable, are verifiable records maintained for the purpose of cost share reporting?

- Yes, and there is a policy
- No policy but records are maintained on a regular basis
- Not Applicable
- No, meaning they have cost share requirements and no policy and records are deficient

Comments: _____

B. Award and Program Finance Management

1. All staff working on donor-funded projects are familiar with or well informed about the specific Grant/Contract terms, conditions and funder policies.

- Yes, and there are regular trainings
- Only the staff involved with budgets/grants/compliance
- Materials are available for review but no effort to require training
- No

Comments: _____

2. Funds received for specific projects and/or activities are only spent for what they are allocated/assigned. For example, money budgeted for a workshop is spent on workshop related-activities only and is not used for other purposes such as fuel.

- Yes
- Generally, though may “borrow” from another activity (not project) while funds are being requested/approved or within approved variance shifting
- No control at activity level within a project
- No control across projects, use funds from one project to cover shortfall in another

Comments: _____

3. Is project financial information accessible to relevant departments/managers so that they are informed about project spending and able to compare it with the approved budget to address any differences?

- Yes, and a report is regularly provided
- Accessible, but not regularly disseminated
- Have the ability to make it accessible, but it isn't
- No ability/interest or information is purposely not made available

Comments: _____

4. How often is a financial cash flow plan, based on workplans, prepared which informs Finance in a timely manner how much money is needed and when?

- Every month
- Every quarter or upon request
- Annually
- Never

Comments: _____

5. Program /Project results are compared with approved budgets. If the budget is over or underspent, management investigates, explains, and documents the reason and steps are taken to avoid the same issues.

- Yes, regularly
- According to funder requirements
- On an adhoc basis
- Never

Comments: _____

6. The financial policy clearly outlines who has authority to authorize procurements against a project budget.

- Yes, has policy and is followed
- Yes, has policy, but not consistently followed
- No policy, but staff know who has that authority
- No policy and practice of approval is inconsistent

Comments: _____

7. The organization maintains its PROJECT/PROGRAM files in preparation of potential future audits for at least one year after the project is completed.

- Yes, for more than one year
- Yes, for at least one year
- No consistent practice
- No files kept

Comments: _____

8. There is an organizational chart with clear reporting lines. Job descriptions have clear duties and responsibilities.

- Yes, there is both and they are up to date
- There's either a chart or job descriptions and it is up to date
- There is a chart and/or job descriptions but they are not accurate or up to date
- No chart or job descriptions

Comments: _____

9. There is a Property Management Policy. Equipment (e.g. car, computer, printer, etc.) which is used for different activities and is funded by different funders is tracked and inventoried accordingly.

- Yes, there is a comprehensive policy and consistent tracking by funder/use
- No policy but consistent tracking by funder/use
- No funding from multiple donors or inconsistent tracking by funder/use
- No policy or tracking

Comments: _____

10. There is an Ethics or Code of Conduct Policy that deals with conflict of interest and reporting of fraud, waste, and abuse that is made available to all staff and training is provided.

- Yes, there is a comprehensive policy and training is provided
- There is a comprehensive policy but no training is provided
- There is an incomplete policy and no training is provided
- No policy or training

Comments: _____

11. There is a travel and/or transportation policy that includes a car log for vehicles and standard per diems across projects.

- Yes, there is a comprehensive policy
- No policy, but there is a consistent practice
- No policy and inconsistent practice
- No policy or consistent practice

Comments: _____

C. Documents

Please provide copies of the following documents to complete the pre-assessment survey.

Item	Y	N	Comments
Registration documents showing official status			
Written mission statement			
List of Board of Directors			
Organizational Chart			
All Codified Policies indicated in Sections A and B: <ul style="list-style-type: none"> ● employment/human resources; ● procurement, travel, record retention; and ● financial management, policies and procedures, etc. 			
Annual financial statements (preferably audited, independently prepared may be acceptable) for last three years			
Annual projected budget including source of income and expenditures for current year only			
Annual Report (most recent published report)			

Subawardee Signature: _____ Date: _____

Subawardee Risk & Responsibility Assessment

ORGANIZATION			
Legal Name (with acronym):			
Address:			
Representative Name/Title:			
Telephone:		Email:	
Organization Type (check all that apply):	<input type="checkbox"/> Non-profit <input type="checkbox"/> For-profit <input type="checkbox"/> State/local government	<input type="checkbox"/> Educational Institution <input type="checkbox"/> Parastatal <input type="checkbox"/> Other	<input type="checkbox"/> US-based <input type="checkbox"/> Non-US based
For organizations that checked both 'for-profit' and 'US-based', are you a small business? (check all that apply):	<input type="checkbox"/> Women Owned Small Business <input type="checkbox"/> Small Disadvantaged Business <input type="checkbox"/> Veteran Owned Small Business	<input type="checkbox"/> Service Disable Veteran Owned <input type="checkbox"/> Alaskan Native Corporation and Indian Tribes <input type="checkbox"/> HBCU and MI	<input type="checkbox"/> Hubzone
Locally Registered?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Registration Number:	
DUNS Number:		Year Established:	
No. of Employees: ___ Full-time ___ Part-Time ___ Volunteer			
Do you have a Board of Directors? <input type="checkbox"/> Yes <input type="checkbox"/> No		Number of Board Members:	
Date of last Board Meeting?		Frequency of Board meetings:	
Please provide the full names of people in the following positions:	CEO/President:		
	CFO or equivalent:		
	Board Chairperson:		
FINANCIAL INFORMATION			
Has your organization received funding from any U.S. Government Agency <u>directly</u> in the last 3 years?		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Has your organization received funding from any U.S. Government Agency <u>as a subrecipient or subcontractor</u> in the last 3 years?		<input type="checkbox"/> No	
Provide the names, contact information, and award reference information for three (3) Funders who can provide references.			
1.	2.	3.	
Does any owner or member of management have a close family relationship (spouse, child, sibling, parent) with a current employee(s) and /or member of a government? If yes, list names and relationship.			
List your annual revenue for the past three years.	<i>Year</i>	<i>Revenue from Awards</i>	<i>Other Sources (i.e. Fundraising)</i>
Current Number of Active Awards:			
What is the average size of contracts or awards, if any, your organization has received in the past three years?			
Does your office use accounting software?		<input type="checkbox"/> Yes <input type="checkbox"/> No	

If so, which product/software do you use?	
Does your organization have a government funder approved indirect, overhead, or administrative rate?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years files are maintained after project close:	___ Financial ___ Programmatic
CERTIFICATIONS	
<input type="checkbox"/> Subawardee has the technical and financial resources necessary for anticipated performance requirements.	
<input type="checkbox"/> Subawardee certifies that neither it, nor the recruiting firm(s) it may employ, require candidates to pay a fee of any kind for the opportunity to interview or as a condition of employment.	

Instructions: Select the best single answer to each question, unless indicated otherwise.

D. Accounting and Financial Management

22. Are all bank accounts held in the organization's and not individuals' names?

- Yes, all accounts are in organization's name (2)
- Some accounts are, some are not, but with justification (1)
- Some accounts are, some are not, but no justification (0)
- No, all accounts are in individuals' names and no justification (-1)

Comments: _____

23. **(KEY)** How often is the financial balance on the bank account reconciled in writing or with verifiable computer software with the general ledger accounts and approved by designated persons?

- At least once a month (2)
- Every quarter (1)
- Less than every quarter, at least once a year (0)
- Never (-1)

Comments: _____

24. The organization has a clearly defined and written review process, including a payment request form, for making payments and there is evidence it is followed.

- Yes, with payment request form and it is consistently followed (2)
- Yes, but no form and/or not consistently followed (1)
- No, but there is firm evidence of a consistent process followed over 75% of the time (0)
- No, and there is no evidence of a consistent process (-1)

Comments: _____

25. **(KEY)** Petty cash expenses are supported by adequate documentation (receipts or other proof of expense).

- Yes, all the time (2)
- Usually, more than 75% of the time (1)
- Sometimes (0)
- Never (-1)

Comments: _____

26. **(KEY)** How are cash and checks kept safe in the office?

- In a locked safe (2)
- In a locked cash-box or drawer or always locked office (1)
- In box or safe but not used consistently (0)
- Other [includes unlocked office drawer] (-1)

Comments: _____

27. Outstanding items on bank reconciliations (such as uncleared payments, bank errors, and missing deposits) are followed up promptly and action is taken and documented.

- Yes (2)
- Usually, more than 75% of the time (1)
- Sometimes (0)
- No (-1)

Comments: _____

28. **(KEY)** How are new grants/funding recorded?

- Electronic system in Excel or another computer program (2)
- Record keeping book / hardcopy handwritten version with debit/credit information (1)
- Maintained only in separate hardcopy files including funds received information (0)
- No system or consistent approach (-1)

Comments: _____

29. Does the accounting system provide for the recording of project costs according to categories of the approved budget?

- Yes, and used consistently (2)
- Yes, but not used consistently (1)
- Yes, but not used at all (0)
- No system (-1)

Comments: _____

30. **(KEY)** The organization keeps different bank accounts for different projects so as to not mix funds -OR- has a fund accounting system that allows money for each project to be tracked separately.

- Yes, separate bank accounts and separate fund accounting (2)
- Yes, separate bank account or separate fund accounting (1)
- Yes, but the bank account or system is not used consistently (0)
- No (-1)

Comments: _____

31. Funds that the organization receives in a foreign currency (US\$, Euro, UK£, etc.) are exchanged into local currency at the bank or other official institutions with the official bank rate and official receipt.

- Always (2)
- Usually (1)
- Never received funds in foreign currency (0)
- Receives foreign currency, but never converts using authorized institutions (-1)

Comments: _____

32. **(KEY)** There is a written policy about who can approve payments and approvals are done in accordance with that policy.

- Yes (2)
- Have a policy and follow it at least 75% of the time (1)
- No policy but consistent practice followed at least 75% of the time (0)
- No policy or consistent practice (-1)

Comments: _____

33. **(KEY)** A competitive solicitation process is practiced and justification for the selection of a vendor is documented.

- Yes, and there is a bids analysis form (2)
- Have a policy and follow it, at least 75% of the time, but no form (1)
- Have a policy and follow it less than 75% of the time, and no form (0)
- No policy or recognized practice (-1)

Comments: _____

34. There is a written and approved policy on keeping voided documents and they are not shredded or destroyed but retained as support documentation.

- Yes (2)
- Maintains voided documents, but no policy (1)
- Varies or Not Sure (0)
- No (-1)

Comments: _____

35. **(KEY)** The organization keeps (hard or soft) copies of important files in case the original gets lost or destroyed.

- Yes (2)
- Some specifically identified as important (1)
- Varies or Not Sure (0)
- No (-1)

Comments: _____

36. **(KEY)** Payroll records show hours (time) worked and salary (salary, benefits, and tax calculations). The payroll and tax data matches the salaries and benefits described in the employment contracts of each staff member.

- Yes, have consistent records and they are checked regularly to make sure they match contracts (2)
- Yes, have consistent records, but do not check to make sure they match (1)
- Have some records, but they are not consistent (0)
- No (-1)

Comments: _____

37. There is a segregation of duties when preparing payroll and the person preparing payroll is not the person approving payroll or signing the payments.

- Yes (2)
- Staffing levels don't allow complete segregation of duties but checks in place to offset (1)
- Staffing levels do not allow complete segregation of duties (0)
- No (-1)

Comments: _____

38. **(KEY)** There is a policy for recording of time worked and paid absences. Records maintained for each employee account for his/her work hours and leave.

- Yes, there is a policy and consistent time/leave recording (2)
- There is no policy but consistent time/leave recording (1)
- There is no policy and inconsistent time/leave recording (0)
- No policy or consistent records (-1)

Comments: _____

39. **(KEY)** All employees are paid based on standard timesheets. Those timesheets are approved by a supervisor and reviewed by finance/payroll for accuracy.

- Yes, standard timesheets are approved and reviewed consistently (2)
- There is no official template but timesheets are approved and reviewed consistently (1)
- No official template and timesheets are not approved or reviewed consistently (0)
- No official template or review process (-1)

Comments: _____

40. **(KEY)** All payroll taxes and other deductions are properly calculated in accordance with local regulations and paid to relevant government departments. A receipt is obtained and documented.

- Yes (2)
- Usually (1)
- Inconsistent (0)
- No (-1)

Comments: _____

41. **(KEY)** The organization maintains its FINANCE files in preparation of potential future audits for at least one year after the project is completed.

- Yes, for more than one year (2)
- Yes, at least one year (1)
- No consistent practice (0)
- No files kept (-1)

Comments: _____

42. When applicable, are verifiable records maintained for the purpose of cost share reporting?

- Yes, and there is a policy (2)
- No policy but records are maintained on a regular basis (1)
- Not Applicable (0)
- No, meaning they have cost share requirements and no policy and records are deficient (-1)

Comments: _____

E. Award and Program Finance Management

12. All staff working on donor-funded projects are familiar with or well informed about the specific Grant/Contract terms, conditions and funder policies.

- Yes, and there are regular trainings (2)
- Only the staff involved with budgets/grants/compliance (1)
- Materials are available for review but no effort to require training (0)
- No (-1)

Comments: _____

13. **(KEY)** Funds received for specific projects and/or activities are only spent for what they are allocated/assigned. For example, money budgeted for a workshop is spent on workshop related-activities only and is not used for other purposes such as fuel.

- Yes (2)
- Generally, though may “borrow” from another activity (not project) while funds are being requested/approved or within approved variance shifting (1)
- No control at activity level within a project (0)
- No control across projects, use funds from one project to cover shortfall in another (-1)

Comments: _____

14. Is project financial information accessible to relevant departments/managers so that they are informed about project spending and able to compare it with the approved budget to address any differences?

- Yes, and a report is regularly provided (2)
- Accessible, but not regularly disseminated (1)
- Have the ability to make it accessible, but it isn't (0)

No ability/interest or information is purposely not made available (-1)
Comments: _____

15. How often is a financial cash flow plan, based on workplans, prepared which informs Finance in a timely manner how much money is needed and when?

Every month (2)
 Every quarter or upon request (1)
 Annually (0)
 Never (-1)
Comments: _____

16. Program/Project results are compared with approved budgets. If the budget is over or underspent, management investigates, explains, and documents the reason and steps are taken to avoid the same issues.

Yes, regularly (2)
 According to funder requirements (1)
 On an adhoc basis (0)
 Never (-1)
Comments: _____

17. The financial policy clearly outlines who has authority to authorize procurements against a project budget.

Yes, has policy and is followed (2)
 Yes, has policy, but not consistently followed (1)
 No policy, but staff know who has that authority (0)
 No policy and practice of approval is inconsistent (-1)
Comments: _____

18. **(KEY)** The organization maintains its PROJECT/PROGRAM files in preparation of potential future audits for at least one year after the project is completed.

Yes, for more than one year (2)
 Yes, for at least one year (1)
 No consistent practice (0)
 No files kept (-1)

Comments: _____

19. There is an organizational chart with clear reporting lines. Job descriptions have clear duties and responsibilities.

- Yes, there is both and they are up to date (2)
- There's either a chart or job descriptions and it is up to date (1)
- There is a chart and/or job descriptions but they are not accurate or up to date (0)
- No chart or job descriptions (-1)

Comments: _____

20. **(KEY)** There is a Property Management Policy. Equipment (e.g. car, computer, printer, etc.) which is used for different activities and is funded by different funders is tracked and inventoried accordingly.

- Yes, there is a comprehensive policy and consistent tracking by funder/use (2)
- No policy but consistent tracking by funder/use (1)
- No funding from multiple donors or inconsistent tracking by funder/use (0)
- No policy or tracking (-1)

Comments: _____

21. **(KEY)** There is an Ethics or Code of Conduct Policy that deals with conflict of interest and reporting of fraud, waste, and abuse that is made available to all staff and training is provided.

- Yes, there is a comprehensive policy and training is provided (2)
- There is a comprehensive policy but no training is provided (1)
- There is an incomplete policy and no training is provided (0)
- No policy or training (-1)

Comments: _____

22. **(KEY)** There is a travel and/or transportation policy that includes a car log for vehicles and standard per diems across projects.

- Yes, there is a comprehensive policy (2)
- No policy, but there is a consistent practice (1)
- No policy and inconsistent practice (0)
- No policy or consistent practice (-1)

Comments: _____

F. Documents

Please provide copies of the following documents to complete the pre-assessment survey.

Item	Y	N	Comments
Registration documents showing official status			
Written mission statement			
List of Board of Directors			
Organizational Chart			
All Codified Policies indicated in Sections A and B: <ul style="list-style-type: none"> ● employment/human resources; ● procurement, travel, record retention; and ● financial management, policies and procedures, etc. 			
Annual financial statements (preferably audited, independently prepared may be acceptable) for last three years			
Annual projected budget including source of income and expenditures for current year only			
Annual Report (most recent published report)			

For Creative Internal Use Only

Summary of Findings:
Total Points: xx
Conclusion: <i>(written summary of the results)</i>

Score up to	Category	Marks
0	Extremely High Not eligible for award	Nine (9) or more of the 18 Key Requirements are marked - or - Overall score of zero (0) or less
15	High Only eligible for fixed amount award	Overall score of 15 or less
30	Moderately High Eligible for fixed amount award or cost reimbursement with special terms / conditions plus aggressive monitoring plan	If overall score is between 16 and 30
45	Moderate Eligible for fixed amount award or cost reimbursement with special terms / conditions	If overall score is between 31 and 45
55	Moderately Low Eligible for cost reimbursement	If overall score is between 46 and 55
+55	Low Eligible for cost reimbursement	If overall score is higher than 55

ANNEX D – Fixed Amount Award Entity Eligibility Checklist



CREATIVE

FIXED AMOUNT AWARD ENTITY ELIGIBILITY CHECKSLIST TEMPLATE

Fixed Amount Award (FAA) Entity Eligibility Checklist

Project Title		
Grantee Name		
1. Organization Integrity	Status	Comments
a. Obtain a copy of the articles of incorporations or other documentation which substantiates the legal character/registration of the entity in country/region of operation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b. Identity principals/key personnel/organization structure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
c. Organization vetted through		

i. Regional Security Officer or other checkpoints to validate good standing in the local community (integrity, Reputation, internal Controls) and ensure that the minimum statutory requirements are met.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
ii. Excluded Parties List System (EPLS)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
iii. Terrorism/Special Designed Nationals (SDN)/ Blocked Persons/Office of Foreign Assets Control (OFAC)/etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

2. Organizational Capacity to Achieve The Proposed FAA Activity	Status	Comments
a. Assess management and staff expertise/resources to accomplish the FAA activity	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b. Intellectual property to be applied	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
c. Technology resources to be applied	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
d. Other assets available and commitments incurred to determine cash flow	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
e. Assess ability to procure/manage property/personnel	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

3. Past Performance in the Sector	Status	Comments
a. Identify similar activities the entity has implemented	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b. Obtain third-party information on performance related to quality of performance, timelines of completion, and input from past funding entities and activity beneficiaries	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
c. Review, if available, objective performance documentation, such as evaluations.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

4. Fixed Amount Award Activity Implementation Viability	Status	Comments
a. Are the milestones appropriate to the activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b. Can Creative reasonably define the accomplishments required to achieve the purpose of the grant in the milestones?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
c. Are the milestones verifiable?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
d. Is there sufficient information available on estimated costs to:		
1. Price milestones such that the Fixed Amount Award represents a good value to the Creative?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
2. Identify risk to both the implementing entity and Creative, and mitigate the risks through "special conditions"?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

e. Are the milestones priced to balance liquidity with incentives for the recipient to keep performing?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
---	---	--

5. FAA Pre-Award Financial Review Checklist Applicable for Authorizing Advances of Fund, in Necessary	Status	Comments
a. Is there a properly established bank account to receive USAID advances?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
b. Are account-related unused checks and petty cash on hand adequately safeguarded?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
c. Are there appropriate controls established over account disbursements?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
d. Are procedures established adequate to document disbursements usage for grant activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
e. Are appropriate procedures established for regular reconciliation of bank account statements with internal books?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
f. If recipient had prior experience with managing advances from external sources, was past accountability adequate and were any past issues resolved?(note: prior advance management experience not required)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
g. Does recipient have a comprehensive cash-flow projection for the proposed activity which supports the proposed implementation plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
h. Does the recipient understand USAID cash management requirements using either the 30-day rolling advance process or the working capital advance type methodology (see ADS 303, Awarding Fixed Amount Awards Additional Help Document)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
i. A written report of findings on the above points should be made as a part of the FAA checklist documentation. The report should provide a summary assessment of the overall advance fiduciary risks as high, medium or low, with a brief summary supporting narrative.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

6. Certification/Representation Included/Obtained, Appropriate	Status	Comments
Use the certifications as specified in ADS 303.3.8 with particular attention given to applicability for Non-U.S. Non-Governmental Organization (NGO) recipients when awarding to a Non-U.S. NGO.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

ANNEX E – REQUEST FOR APPLICATION TEMPLATE



CREATIVE

**REQUEST FOR APPLICATION
(RFA)**

TEMPLATE

(U.S. FEDERAL GOVERNMENT)

PUBLIC NOTICE

Introduction

This Request for Application (RFA) template has been drafted to establish a common baseline for any Creative program administering RFAs.

Definition

A RFA is used when the intent is to provide assistance for an activity or methodology that supports or is in keeping with Creative's clients' program objectives.

Guidelines

The template that follows is intended for use under U.S. Federal clients only. It is recommended that RFAs are posted for sixty (60) calendar days in the respective country/region of a project. If the nature of the project permits, the RFA should be available for more than sixty (60) days to ensure high quality applications. RFAs should not be posted for less than thirty (30) days unless there are circumstances that would require it to be posted for less than thirty (30) days. In such cases, the Grants Negotiation Memorandum should adequately document the justification for posting an RFA for less than thirty (30) days.

Examples for posting for less than thirty (30) days may include, but are not limited to:

- Sole sourcing to an experienced grantee;
- An unsolicited concept note or application was received.

Anything in this template that is highlighted in yellow should either be removed or replaced with its applicable information.

Subject: Request for Application (RFA) Number:
[INSERT RFA NO.]
Title: [INSERT TITLE OF RFA]
RFA Issuance Date: [INSERT DATE]
RFA Conference: [INSERT DATE OF CONFERENCE IF ONE IS TO BE HELD]
Deadline for Questions/Clarifications: [INSERT DATE]
Closing Date: [INSERT DATE]

Creative Associates International in [INSERT COUNTRY] is seeking applications from qualified applicants in [INSERT COUNTRY] to fund a program entitled [INSERT PROGRAM TITLE]. Eligibility for this award is [RESTRICTED OR NOT RESTRICTED]. See Section C of this RFA for eligibility requirements.

An award will be made to that responsible applicant(s) whose application(s) best meet the objectives of this funding opportunity and the selection criteria contained herein.

For purposes of the RFA “Grantee” is synonymous with “Recipient”. Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this RFA and meet eligibility standards in Section C of this RFA. It is the responsibility of the applicant to ensure that the entire RFA has been received from the internet in its entirety and Creative bears no responsibility for data errors resulting from transmission or conversion process.

The application must be submitted electronically to [INSERT NAME OR OFFICE] at [INSERT PHONE AND/OR E-MAIL ADDRESS] no later than the deadline stated above.

Any questions concerning this RFA should be submitted in writing to [INSERT NAME OR OFFICE] at [INSERT PHONE AND/OR E-MAIL ADDRESS] no later than the deadline stated above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice via e-mail. Issuance of this RFA does not constitute an award commitment on the part of Creative nor does it commit the Creative to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant’s expense.

Thank you for your interest in this RFA.

Sincerely,

[INSERT NAME OF COP]
Chief of Party
[INSERT NAME OF PROGRA

ATTACHMENTS

Attachment 1 – Request for Application

Attachment 2 – Application Template

Attachment 3 – Budget Template

Attachment 4 – Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard

Provisions

Attachment 5 – Standard Provisions for U.S. Non-Governmental Organizations

Attachment 6 – Standard Provisions for non-U.S. Non-Governmental Organizations

Attachment 7 – Standard Provisions for Fixed Amount Awards to Non-Governmental Organizations (USAID

only)(for FAAs Only)

ATTACHMENT 1

A. PROGRAM DESCRIPTION

[REMOVE THIS GUIDANCE BEFORE RELEASING THE RFA. This section contains the full program description of the funding opportunity. The information provided can be as long as necessary to communicate to potential applicants the areas in which funding may be provided. Using the sub-sections below, describe the funding priority(ies) or technical/focus areas where Creative will provide funding.]

1. Purpose

[A purpose statement is a declarative sentence which summarizes the specific topic and goals of the activity. It provides a potential applicant with an accurate, concrete understanding of what the program is about. It should be specific and precise, concise, clear, and goal-oriented.]

2. Background

3. Objectives

[Objectives are statements that describe the results to be achieved, and the manner in which they will be achieved. You usually need multiple objectives to address a single goal.]

4. Illustrative Activities

Some illustrative activities could be, but are not limited to the following:

[SOME OF THE ILLUSTRATIVE ACTIVITIES COULD BE DIRECTLY TAKEN FROM THE CONTRACT/COOPERATIVE AGREEMENT WITH THE CLIENT, BUT COULD ALSO BE DEVELOPED TO SPECIFICALLY FIT THE REQUIREMENTS OF THE RFA.]

5. Authorizing Legislation

Awards are authorized in accordance with Creative Associates International **[CONTRACT OR COOPERATIVE AGREEMENT]** with **[INSERT NAME OF CLIENT]**.

B. AWARD INFORMATION

[REMOVE THIS GUIDANCE BEFORE RELEASING THE RFA. This section is intended to provide sufficient information for a potential applicant to decide whether to submit an application.]

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to the availability of funds, Creative plans to issue multiple or a single award(s) under this RFA.

The total estimated amount of funding available under this RFA is [INSERT AMOUNT], and/or the range of each award will be [INSERT AMOUNT] to [INSERT AMOUNT]. The amount of each award is subject to negotiations, and each award amount may or may not fall in the range previously provided. Furthermore, Creative is not obligated to issue awards up to the amount of funding availability.

Creative reserves the right to fund one, some, or or none of the applications submitted.

2. Period of Performance

The estimated start date will be upon signature of award, on or about [Insert Date]. The anticipated duration of Creative's support is [Insert Number] months.

3. Award Mechanisms

Creative's final determination on award mechanism will be based on its assessment of an applicant's risk prior to award. If Creative's assessment identifies weaknesses or deficiencies that call into question the applicant's ability to manage an award, Creative may elect to remove the applicant from consideration under this funding opportunity or select a mechanism more appropriate for the applicant's current capacity.

The most common award mechanisms issued by Creative are fixed amount awards (FAAs) and in-kind awards. Under FAAs, payments are performance based and issued to an awardee after its successful completion of pre-defined programmatic milestones. Under in-kind awards, Creative a) makes payments on behalf of the grantee and/or b) procures/delivers goods and services on behalf of the grantee.

Creative also may elect to issue cost-reimbursable awards (i.e. simplified or standard grants) to grantees in instances where: a) applicants demonstrate sufficient financial management capacity to implement such mechanisms and b) such awards are determined to be appropriate mechanisms for implementing the program description.

C. ELIGIBILITY INFORMATION

[REMOVE THIS GUIDANCE BEFORE RELEASING THE RFA. This section addresses the consideration and factors that determine applicant or application eligibility for award.]

1. Eligible Applicants

To be eligible for an award under this funding opportunity, an applicant must be any of the following types of organizations:

[MODIFY THE FOLLOWING LIST SO THAT IT MATCHES WITH THE CLIENTS' REQUIREMENTS]

- a) **Foreign Organizations (referred to as non-U.S. NGOs):** either nonprofit or for-profit organizations that meet the definition in 2 CFR 200.47.
- b) **Nonprofit Organizations:** Organizations that meet the definition of 2 CFR 200.70
- c) **For-Profit Organizations:** NGOs that are not nonprofit organizations but are willing to forgo profit
- d) **U.S. Universities**
- e) **Non-U.S. Universities**
- f) **Private Voluntary Organizations**
- g) Grantees that currently have a grant agreement with Creative Associates International under this program with **[INSERT NAME OF CLIENT]**.

Individuals and governments are not eligible to apply.

Additionally, an applicant must be officially registered and working in compliance with all applicable civil and fiscal regulations, including but not limited to pertinent local laws and status. In lieu of official registration, a grantee may show proof of effort to secure registration, exemption from registration, or show cause for why such registration is either not optional or practicable.

2. Cost Sharing or Matching

If applicable, describe the cost sharing element and state whether the inclusion of cost share is required or suggested. If there is no cost share requirement, include the following statement:

“Cost sharing is not required under this funding opportunity.”

When cost sharing is suggested and will be a factor in determining who will receive an award, the announcement must explicitly describe how cost sharing will be considered as part of the review process. Do not use vague statements such as “cost sharing is encouraged.” If applicable, the announcement must clearly state any restrictions or special conditions regarding the types of costs that are acceptable for cost sharing (consistent with 2 CFR 200.306). To assist potential applicants, instructions for calculating cost share in the budget should be included in the Cost Application template referenced in the “Application & Submission Information” section below.

Please note the following regarding cost sharing requirements in an RFA:

- **Fixed amount awards may not be issued following the release of an RFA that requires mandatory cost sharing (see 2 CFR 200.201(b)(2)). If FAAs are the preferred mechanism, applications must be solicited in a separate RFA that does not include a cost share requirement.**
- **Applications that do not meet the minimum cost share requirement as stated in the RFA are not eligible for award consideration (see ADS 303.3.5.2c and ADS 303.3.5.2e)**
- **Cost sharing cannot be used as a separate factor during the merit review of applications (see 2 CFR 200.306). It may be considered in the merit review only if the funding announcement specifically addresses how it will be considered, i.e. assigning a certain number of additional points to applicants who offer cost sharing.**

3. Limit on Number of Applications

Each eligible organization may submit **only one/more than one** application(s). Please note that issuance of this RFA does not in any way obligate Creative to pay for costs incurred by prospective applicants in the preparation and submission of an application.

D. APPLICATION & SUBMISSION INFORMATION

1. Address to Request Application Package

Any requests regarding this RFA package may be addressed to:

Attention: **["Grants Department" or Name, Title]**
Email Address: **[Insert Email Address]**
Physical Address: **[Address Line 1]**
[Address Line 2]
[Address Line 3]

2. Content and Form of Application Submission

Each application must be submitted in two separate parts: a) Technical Application and b) Cost Application. To prepare both parts, applicants must use the templates provided in Attachments 2 and 3, which provide instructions on the required content and format. Applicants not following these instructions are at risk of being considered non-responsive to the requirements of the RFA and eliminated from further consideration. All information must also be submitted in English. If the application is in any other language, it will be considered non-responsive and eliminated from further consideration.

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

Pursuant to the Paperwork Reduction Act, Creative prefers to receive applications electronically. However, Creative also recognizes that certain limitations related to internet connectivity and/or access to information and communications technologies may prevent certain applicants from submitting in electronic format. Therefore, Creative also accepts hard copy submissions.

3. DUNS Number & SAM Registration

[FOR PURPOSES OF THIS SECTION, THERE MAY BE EXEMPTIONS TO THIS REQUIREMENT. TO DETERMINED IF AN EXEMPTION APPLIES, CREATIVE SHOULD CHECK WITH THE CLIENT OF THE CONTRACT/AGREEMENT]

Please be advised that each applicant is required to:

- a) Provide a valid Duns & Bradstreet number (DUNS) in its application (***applies for U.S. and Non-U.S. based organizations***)
- b) Be registered in the System for Award Management (SAM) before submitting its application (***applies for U.S. based organizations only***)
- c) Continue to maintain an active SAM registration with current information at all times during which it has a) an active award with the U.S. Government or b) an application or

plan under consideration by the U.S. Government or a U.S. Government implementing partner such as Creative (***applies for U.S. based organizations only***)

Information regarding registration can be found at the following websites:

<http://www.dnb.com/get-a-duns-number.html>

<http://www.sam.gov>

Creative may not award to an applicant until the applicant has complied with all applicable SAM and DUNS requirements. As the registration process may take several weeks to complete, applicants are encouraged to register early to be eligible to apply for this RFA. Please note that completion of an early registration does not constitute any commitment on the part of Creative to make an award.

[If only non-U.S. based organizations will be eligible to submit applications, include the following language in this section instead]

“Please be advised that each applicant is required to provide a valid Dun & Bradstreet (DUNS) number in its application. Information regarding registration can be found at the following website:

<http://www.dnb.com/get-a-duns-number.html>

Creative may not award to an applicant until the applicant has complied with all applicable DUNS requirements. As the registration process may take several weeks to complete, applicants are encouraged to register early to be eligible to apply for this RFA. Please note that completion of an early registration does not constitute any commitment on the part of Creative to make an award.”

4. Submission Date & Time

Applicants must submit their Technical and Cost Applications prior to the closing date and time listed on the cover page. Applications that are submitted late are at risk of not being considered for review. Late applications are marked as “late”. Creative reserves the right to accept and include late applications in the review and award process only when: a) Creative considers it to be in its best interest and b) applications received on time have not yet been opened and reviewed.

5. Funding Restrictions

Construction activities proposed under this RFA are not allowable under this RFA. Furthermore, the following funding restrictions apply to the following grant types:

- a. **Fixed Amount Award Agreement** – (1) the duration of a fixed amount award may not exceed three (3) years; and (2) the fixed amount award must not include the purchase of any real property.
- b. **Simplified Grant Agreement** – (1) the grant agreement will not exceed \$150,000 USD; (2) the grantee will not purchase any goods or services, except as authorized pursuant to 22 CFR 228 or ADS 310 or any applicable waivers, and the grantee will not purchase any single item that has a useful life over one year and a cost of \$5,000 or more; (3) all costs under the award are direct, meaning that no indirect costs are allowable.

All costs proposed in an application must be allowable, allocable, and reasonable.

Creative will not reimburse for any costs incurred prior to the signing of a grant agreement.

6. Other Submission Requirements

- a. **Format of Submission** - The Technical and Cost Applications must be submitted separately if sent via electronic format or packaged separately if delivered in hard copy format.
- b. **Submittal of Applications** – The Technical and Cost Applications must be submitted electronically or in hard copy to the e-mail address or address located in '1' above of this Section. Should an applicant experience any difficulties in submitting an application, they should contact **[INSERT NAME AND TELEPHONE NUMBER]**.
- c. **Questions & Answers** - Questions regarding this RFA must be submitted in electronic format or hard copy to the same email/physical address above no later than the due date and time listed on the cover page for clarification questions. There will only be one round of questions and answers throughout the RFA process.

Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment to this RFA if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

E. APPLICATION REVIEW INFORMATION

1. Criteria

Each application received by the RFA closing date will be reviewed against the eligibility criteria outlined in "Section C. Eligibility Information". Applications that do not meet the eligibility criteria will not be considered for award. Eligible applications that are found to be incomplete will be determined nonresponsive and also not considered for award.

Eligible, responsive applications will be reviewed in accordance with the technical and cost criteria set forth below. Following this review, Creative may request the apparently successful applicant(s) to submit a revised application and/or responses to clarifying questions by a specified date. Creative reserves the right to award without requesting clarifications or additional detail in an application.

Technical Evaluation Criteria

The technical application will be evaluated against the following criteria:

[PLEASE NOTE THAT THE SELECTION CRITERIA LISTED BELOW ARE ONLY EXAMPLES. THE EVALUATION CRITERIA SHOULD BE DECIDED ON BY THE PROGRAM SO THAT THEY BEST SUIT THE NEEDS OF THE OVERALL PROGRAM. IN SOME CASES, SELECTION CRITERIA MAY REQUIRE PRIOR WRITTEN APPROVAL BY THE CLIENT.]

[Illustrative Example:

Technical Approach: 35 points

- ✓ Extent to which applicant demonstrates its understanding of the operating environment in the geographic areas targeted under this RFA
- ✓ Extent to which applicant demonstrates how it will successfully implement the specific activities described in the Program Description section above.
- ✓ Extent to which applicant describes the potential challenges it may encounter during implementation, the measures it will put in place to avoid these challenges, and how it will overcome these challenges/mitigate their impact should they occur

Management Approach & Staffing Plan: 30 Points

- ✓ Extent to which the applicant demonstrates how its management approach will lead to successful implementation of its proposed technical approach.
- ✓ Relevancy of the applicant's proposed organizational structure (i.e. position titles, reporting lines, and number of staff) as it relates to implementing the specific activities that will be supported as a result of this RFA.
- ✓ Ability of applicant to distinguish between roles and responsibilities of staff and how these staff will communicate and coordinate with each other while implementing/managing activities
- ✓ Relevancy of background and skillsets of applicant's proposed staff to those required under this funding opportunity.

Past Experience: 20 Points

- ✓ Degree to which applicant's current and/or past projects demonstrate its ability to implement the specific activities that will be supported as a result of this RFA
- ✓ Extent of applicant's experience working in the geographic areas targeted under this RFA.

Strategic Fit: 15 points

- ✓ Compatibility of the applicant's organizational mission, goals, and objectives to the objectives and funding priorities under this RFA]

Cost Evaluation Criteria

Once the technical review of the application(s) is completed, Creative will evaluate the Cost Application(s) of the apparently successful applicant(s) for cost reasonableness, allocability, and allowability. Additionally, an apparently successful applicant's organization must demonstrate adequate financial management capability during a pre-award risk assessment conducted by Creative.

[If cost sharing is required, a clear statement describing how Creative will evaluate cost share must be included in this section.]

2. Review and Selection Process

To evaluate the application(s), Creative will establish a Selection Committee (SC) comprised of three members with expertise relevant to the program requirements described in this RFA.

Throughout the evaluation process, Creative will take every step to ensure that members of the SC do not have any conflicts of interest or the appearance of such with any organization submitting an application in response to this RFA. An individual shall be considered to have the appearance of a conflict of interest if that individual or that individual's spouse, partner, child, close friend, or relative works for, is negotiating to work for, and/or has a financial interest (including being an unpaid member of a Board of Directors) in any organization that has submitted an application for review by the SC. Members of the SC shall neither solicit nor accept gratuities, favors, or anything of monetary value from any applicant.

The Chief of Party makes the final decision on all awards made under the RFA.

F. AWARD ADMINISTRATION INFORMATION

1. Award Notices

A Notice of Intent to Award will be provided to the point of contact listed in the application of the apparently successful applicant(s). **Please note that such notification does not guarantee an award.** An apparently successful applicant must first demonstrate that it possesses or has the ability to obtain the necessary management competence to practice mutually agreed upon methods of accountability for funds and other assets provided. To this end, the applicant may be required to submit additional information about its organization (i.e. Articles of Incorporation or other documentation substantiating the legal character of the applicant or key individuals within its organization) for vetting purposes. Final issuance of an award will be contingent upon the timely receipt of the information requested and the successful completion of Creative's vetting process/pre-award risk assessment.

2. Award Administration

This award will be administered according to the following:

[INSERT APPLICABLE STANDARD PROVISIONS SPECIFIC TO THE CLIENT]

For USAID-funded programs:

- U.S. based NGOs (if applicable) are subject to 2 CFR 200, 2 CFR 700, and ADS 303maa
- Non-U.S. based NGOs are subject to ADS 303mab
- RFAs under which FAAs may be awarded should reference ADS 303saj, *Fixed Amount Awards to Non-Governmental Organizations*

3. Reporting

[INSERT THE REPORTING REQUIREMENTS THAT ARE IN LINE WITH THAT OF THE PRIME AWARD]

Reporting requirements (including a reporting schedule) will be provided in the award document. The specific reports required will depend on the award type and project duration; however, examples may include the following:

- Monthly Report(s) including a description of progress made during the reporting period, photos of program activities, challenges encountered during implementation, activities planned for the next reporting period, etc.
- Final Program Report including lessons learned, success stories, a description of the program's impact vis-à-vis its goal and objectives, etc.
- Financial Reports including planned obligations, actual expenditures, funds remaining, etc. as well as a detailed Final Financial Report.

Please note that issuance of final payment will be contingent upon Creative's receipt and acceptance of the Final Financial Report and/or Final Program Report. Please note that final payment for Fixed Amount Awards (FAAs) is contingent on the completion of the final milestone and acceptance of its deliverables.

4. Program Income (if applicable)

5. Marking and Branding

Applicants selected for award will be required to follow the following marking and branding requirements:

[INSERT REQUIREMENTS AS APPROVED BY CLIENT]

6. Environmental Compliance

[INSERT STATEMENT FROM CONTRACT OR COOPERATIVE AGREEMENT THAT SPEAKS TO ENVIRONMENTAL COMPLIANCE]

G. CONTACT INFORMATION

The applicant(s) may use the following addresses to contact Creative in writing or via email regarding this funding opportunity:

Email Address: [Insert Email Address]
Physical Address: [Address Line 1]
 [Address Line 2]
 [Address Line 3]

H. OTHER INFORMATION

ANNEX F – GRANT APPLICATION TEMPLATE



CREATIVE

**GRANT APPLICATION
TEMPLATE**

Grant Application

GRANTEE INFORMATION	
Name of Applicant	
Address	
Contact and Title	
DUNS Number	
VAT Number	
Phone Number	
Fax Number	
Web Site	

PROJECT INFORMATION	
Project Title	
Location	
Period of Performance	

Budget Summary		
Category	USD	Local Currency
Amount Requested		
Cost Share, if applicable		
Other Donors, if applicable		
Total Budget		

Key Personnel <i>(Please list key Personnel: e.g. Project Manager, Technical Lead.)</i>		
Name	Title	SOW

Organizational Capability <i>(Please list annual income over the past three years and main financial contributor)</i>		
Year	Annual Income in USD	Financial Contributor

--	--	--

Past Performance *(Please describe one major project in which your organization was involved in the past two years, which shows the organizations expertise and ability to meet the goals of the project)*

Project Title	
Period of Performance	
Location	
Role of Organization	
Project Objectives	
Project Results	
Total Budget	
Funding Source and Contact Information	

Statement of Liability

I, the undersigned, being the person responsible in the applicant organization for this project , certify that the information given in this application is true and accurate

Name	
Position	
Signature and Stamp	
Date and Place	

PROJECT DESCRIPTION:

Background *(Please provide any necessary background information on the issues and the problems that the project will address)*

--

Statement of Goals / Objectives *(Please state the projects goal and its corresponding objectives to address the problems identified above)*

Goal:

- Objective 1
- Objective 2
- Objective 3

Summary *(Please provide a brief summary of the project including project objectives and outcomes (including target numbers))*

Technical Approach/Strategy

Activities *(Please provide a detailed description of all the activities to achieve each objective)*

Expected Targets/Deliverables *(What are the expected results that the project will bring about)*

Projected Beneficiaries *(please describe the type and number of beneficiaries)*

Type and Number of direct beneficiaries:

Type and number of indirect beneficiaries:

Project Work-Plan and Timeline *(Please provide a summary of the work-plan and timeline in addition to attaching a copy of the work-plan)*

Sustainability <i>(Please describe the measures you will take to ensure sustainability after the end of the grant agreement e.g. capacity building, institutionalization etc.)</i>
Public Outreach and Communications <i>(Please describe the public outreach and communications campaigns/activities planned)</i>
Statement of Cost-share <i>(if applicable)</i>

Attach the following documents:

- **Work-Plan**
- **Budget**

ANNEX G – GRANTS BUDGET TEMPLATE



CREATIVE

**GRANT BUDGET
TEMPLATE**

Grants Budget Template

Applicant Name:						
Project Title						
Period of Performance:						
Date						
				Exchange Rate		
				Rate		
Category	Qty	Unit	Unit Price in LC	Total LC	Total US	Budget Notes
<i>Direct Labor</i>						
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				-	#DIV/0!	
<i>Position</i>				#VALUE!	#VALUE!	
<i>Subtotal Personnel</i>				#VALUE!	#DIV/0!	
<i>Materials/Supplies/Equipment</i>						
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
<i>Subtotal M & S</i>				-	#DIV/0!	
<i>Travel and Transportation</i>						
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	

				-	#DIV/0!	
Subtotal T&T				-	#DIV/0!	
Activities Cost						
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
				-	#DIV/0!	
Subtotal Activities				-	#DIV/0!	
Other Direct Costs						
	400	copies	1	400	#DIV/0!	
				-		
				-		
				-		
				-		
Subtotal ODC				400	#DIV/0!	
Total Direct Costs				#REF!	#REF!	
Total Grant Budget				#REF!	#REF!	

Summary Budget	
Direct Labor	#VALUE!
Materials/Supplies/Equipment	-
Travel and Transportation	-
Activities	-
Other Direct Costs	400
Total Budget LC	#VALUE!
Total Budget USD	#REF!

BUDGET GUIDELINES

Personnel : list each position by title and name of employee, if available. Show the annual salary rate and the level of effort to be charged to the project. Compensation should be consistent with salaries paid for similar work by other organization.

Materials and supplies : list items by type (office supplies, postage, training materials, copying paper, and expendable equipment such as books, hand held tape records etc) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project

Travel: itemize travel expenses of project personnel by purpose (e.g. , staff to training, field interviews, advisory group meeting, etc.). show the basis of computation. For example # of people, # days, \$ unit price. In training projects travel and meals for trainees should be listed separately. Show the number of trainees and the unit cost for meals or lodging. For travel identify the departure city, Country and arrival city, country. Indicate source of travel policies applied applicant or federal travel regulations.

Activities: Costs directly related to the implementation of the activity such as costs related to training etc.

Other direct costs: list items such as rent, reproduction of material, telephone, janitorial or security services by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

BUDGET NOTES:

Budget notes must be completed FOR EACH BUDGET LINE. Do not replicate the information in the budget to the budget notes. Instead, budget notes to provide more detailed information how the cost was determined. For example procurement of materials and supplies based on survey of vendors or quotes from a vendor; travel costs is justified based on organizations travel policy; fuel is for vehicle to transport trainees/ staff to training site based on an average rate for fuel; and for travel departure and arrival city, country and price based on quote from travel agent or airline.



CREATIVE

**CERTIFICATIONS, ASSURANCES, AND
OTHER STATEMENTS OF THE RECIPIENT
AND SOLICITATION STANDARD
PROVISIONS TEMPLATE**

Introduction

Before making a grant award, Creative must ensure they've obtained certifications, assurances, and other statements from both U.S. and non-U.S. organizations (except as specified by each certification, assurance, or statement) before making an award and as otherwise required by the regulations as listed.

Guidelines

Creative may choose to request the applicant to submit the certifications either as part of the application or during negotiations. Creative personnel should consider the administrative burden of requiring certifications as part of the application in light of potential delays in making the award while waiting for the certifications.

Certifications, Assurances, and Other Statements of the Recipient

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
 - (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or

an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

"The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure."

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is

found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification –
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

- (i) "Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.
 - (ii) "Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.
- b. "Terrorist act" means –
- (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
 - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term. **An asterisk indicates that the adjacent information is new or substantively revised.*

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

Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds

\$500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.

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

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

6. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing NonDiscrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.

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

RFA/APS No: _____
Application No: _____
Date of Application: _____
Name of Recipient: _____
Typed Name and Title: _____
Signature: _____
Date: _____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

1. I hereby certify that within the last ten years:
 - a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
 - c. I am not or have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction

- (a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –
- (1) “Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or
 - (2) “Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

It is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) **Applicant Representation:**

- (1) The Applicant represents that it is is not an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.
- (2) The Applicant represents that it is is not an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Part V – Other Statements of Recipient

1. Authorized Individuals

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. Taxpayer Identification Number (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may email Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. Letter of Credit (LOC) Number

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. Procurement Information

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	_____
QUANTITY	_____
ESTIMATED UNIT COST	_____

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a

regular and customary business practice of selling the commodity through “just in time” or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient’s request for the commodity.

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED GOODS _____
 PROBABLE GOODS _____
 PROBABLE (Generic) _____
 UNIT COST _____
 SOURCE _____

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED _____
 PROBABLE _____
 INTENDED USE (Generic) _____
 UNIT COST _____
 SOURCE _____

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED _____
 PROBABLE SUPPLIER _____
 NATIONALITY _____
 RATIONALE (Generic) _____
 UNIT COST (Non-US Only) _____
 FOR NON-US _____

6. Past Performance References

On a continuation page, please provide past performance information requested in the RFA.

7. Type of Organization

The recipient, by checking the applicable box, represents that –

- (a) If the recipient is a U.S. entity, it operates as a corporation incorporated under the laws of the State of, an individual, a partnership, a nongovernmental nonprofit organization, a state or local governmental organization, a private college or university, a public college or university, an international organization, or a joint venture; or
- (b) If the recipient is a non-U.S. entity, it operates as a corporation organized under the laws of _____ (country), an individual, a partnership, a nongovernmental nonprofit organization, a nongovernmental educational institution, a governmental organization, an international organization, or a joint venture.

8. Estimated Costs of Communications Products

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

Part VI – Standard Provisions for Solicitations

1. Branding Strategy – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
 - (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.

- (i) USAID requires the applicant to use the “USAID Identity,” comprised of the USAID logo and brandmark, with the tagline “from the American people” as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.
 - (ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.
 - (iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.
 - (v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.
 - (4) Planned communication or program materials used to explain or market the program to beneficiaries.
 - (i) Describe the main program message.
 - (ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.
 - (iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, “USAID is from the American People.”
 - (iv) Provide any additional ideas to increase awareness that the American people support this project or program.
 - (5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.
 - (6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

- f. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

(END OF PROVISION)

2. Marking Plan – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and landmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:
 - (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
 - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
 - (ii) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs;

- (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity; and
 - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.
- (2) A table on the program deliverables with the following details:
- (i) The program deliverables that the applicant plans to mark with the USAID Identity;
 - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
 - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
 - (v) The rationale for not marking program deliverables.
- (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
- (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
 - (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
 - (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.
 - (iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.
 - (v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

- (vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
 - (vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.
- f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PROVISION)

**3. Conscience Clause Implementation (Assistance) – Solicitation Provision
(February 2012)**

APPLICABILITY: *This provision must be included in any new Request for Applications (RFA) or Annual Program Statement (APS) that intends to obligate FY04 or later funds made available for HIV/AIDS activities, regardless of the program account. Further guidance is found in AAPD 14-04, Section 2.D.*

**CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – SOLICITATION PROVISION
(February 2012)**

- (a) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care –
- 1) Shall not be required, as a condition of receiving such assistance –
 - (i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
 - (ii) (ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
 - 2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.
- (b) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled “Notices” as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of

applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.

- (c) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror's proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

(END OF PROVISION)

4. Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)

APPLICABILITY: *This pre-award provision must be included in Section IV of all assistance solicitations.*

PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION (MAY 2017)

- (a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

- (b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

- (c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
- (d) Representation. By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

(END OF PROVISION)

ANNEX I – SELECTION COMMITTEE EVALUATION SHEET TEMPLATE



CREATIVE

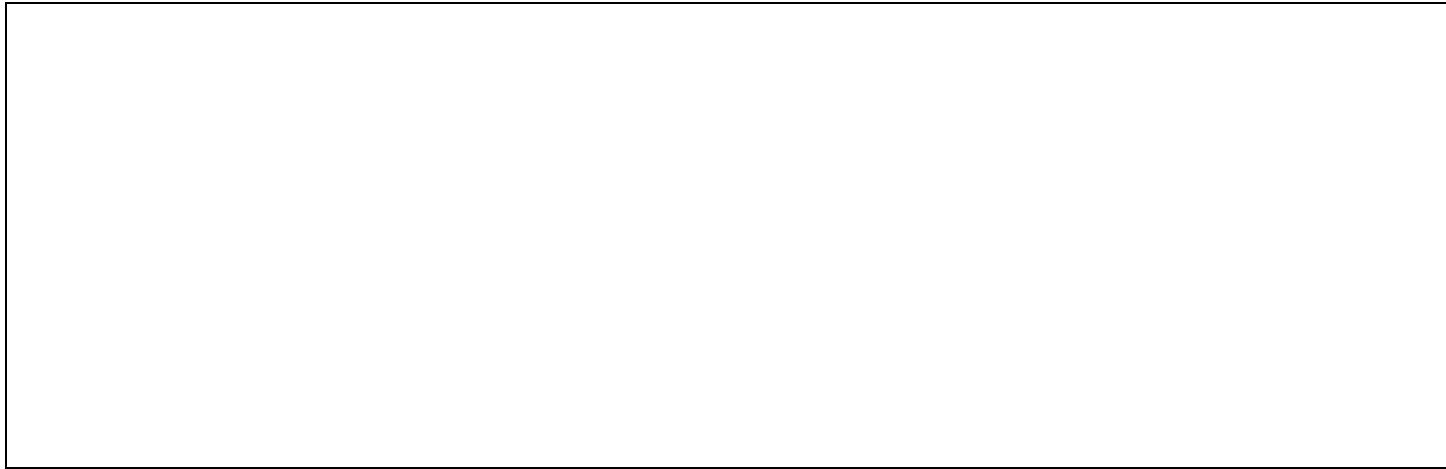
**SELECTION COMMITTEE
EVALUATION SHEET
TEMPLATE**

Technical Evaluation Summary (Individual)

Project Name: _____
 Subproject Name: _____
 RFA Number: _____
 Evaluator's Name: _____

Scoring Table	Applicant Scores										
	Name of Applicant										
Criteria	Pts	1	2	3	4	5	6	7	8	9	10
Technical Approach	35										
Management & Staffing Plan	30										
Past Experience	20										
Strategic Fit	15										
Total Score	100										
Selected	Y/N										

Comments/Recommendation:



Verification:

Signature

Date

ANNEX J – IN-KIND GRANT TEMPLATE



CREATIVE

IN-KIND GRANT TEMPLATE

Introduction

This in-kind grant template has been drafted to establish a common baseline for any Creative program administering in-kind grant agreements.

Definition

An in-kind grant agreement is a grant agreement where Creative enters into an agreement with a grantee agreeing that Creative will purchase goods and/or services for the grantee for direct delivery to the grantee for them to utilize for the intended purpose described in the grant agreement. In-kind grants can be awarded to a U.S. or non-U.S. non-governmental organization, an individual, a non-profit or for-profit entity, or a government entity. It is also one of the least risky grant agreements. In-kind contributions are estimated at fair market value in the host country at the time the estimation is made. The grant agreement is considered to be complete once the final set of goods purchased for the grant are accepted by the client or the services provided are completed. An in-kind grant is essentially the transfer of the benefit of goods/services procured by Creative to a third party.

Guidelines

This in-kind grant template is intended to be a reference point for drafting an in-kind grant agreement. This template is neutral of Creative's clients, however, note that an in-kind grant agreement may not be permissible by some clients. Upon entering into a contractual or grant agreement with a client that requires Creative to administer and manage a grants program, this template will be tailored where needed to meet the needs of the client. With that being said, this template is fairly comprehensive and any tailoring will most likely be minimal. Prior to utilizing this template, Creative staff should consult the Grants Department under Field Administration.

[INSERT NAME OF GRANTEE]
[INSERT ADDRESS OF GRANTEE]

[INSERT DATE]

Subject: Transfer of [INSERT MATERIALS AND/OR SERVICES BEING DONATED]

Dear [INSERT GRANTEE POINT OF CONTACT]:

Pursuant to the authority contained in our contractual agreement with the [INSERT NAME OF CLIENT] (herein referred to as '[INSERT CLIENT NICKNAME IF ONE APPLIES]'), Creative Associates International (hereinafter referred to as 'Creative') hereby provides [INSERT NAME OF GRANTEE] (hereinafter referred to as 'Grantee') an in-kind contribution of the materials and/or services described in Attachment 1.

This award is effective as of the date of this letter and ends with the final delivery of materials and/or services to be provided as designated in Attachment 1 and signing of the Certificate of Completion (Attachment 6).

The Grantee point of contact designated in Attachment 2 (Grantee POC) must acknowledge receipt of the materials with the Receipt of In-Kind materials and/or services set forth as Attachment 3 of this award, which must be submitted to the Creative point of contact designated in Attachment 2 (Designated Points of Contact). The materials are provided "as is." Creative makes no warranty about the condition or serviceability of the materials. Subject to the terms of this award, title to the goods will transfer to the Grantee upon its receipt of the materials. Following transfer of title, the Grantee will assume all responsibilities incident to ownership of the materials and any liability and costs arising from third party claims against Creative or its personnel related to the use of the materials.

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

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

Sincerely,

_____ [Signature of Authorized Signatory for Creative]

[INSERT NAME OF AUTHORIZED SIGNATORY FOR CREATIVE]
[INSERT TITLE OF AUTHORIZED SIGNATORY FOR CREATIVE]
Creative Associates International

Attachments:

1. In-Kind Contribution

2. Designated Points of Contact
3. Receipt of In-Kind Materials and/or Services
4. Program Description
5. Miscellaneous Provisions (as applicable by client)
6. Certification of Completion

FOR THE GRANTEE:

Signature: _____

Name: _____

Title: _____

Organization: _____

Date: _____

ATTACHMENT 1**IN-KIND CONTRIBUTION**

Material/Service Description	Quantity	Unit Cost	Scheduled Delivery	Estimated Current Fair Market Value (FMV)
[i.e. Plastic Sheeting]	100 rolls		[i.e. 30 days from award]	[INSERT LOCAL CURRENCY]
[i.e. Blankets]	500			[INSERT LOCAL CURRENCY]
[add additional rows as necessary]				[INSERT LOCAL CURRENCY]
Total Value of Donation				[INSERT LOCAL CURRENCY]

ATTACHMENT 2

DESIGNATED POINT OF CONTACTS

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

For Creative:

[INSERT NAME]
[INSERT ADDRESS]
[INSERT TELEPHONE NO.]
[INSERT E-MAIL ADDRESS]

For Grantee:

[INSERT NAME]
[INSERT ADDRESS]
[INSERT TELEPHONE NO.]
[INSERT E-MAIL ADDRESS]

ATTACHMENT 3

RECEIPT OF IN-KIND MATERIALS AND/OR SERVICES¹

The undersigned accepts receipt of materials and/or services as detailed in the listing provided as Attachment 1.

[IN THE EVENT OF MULTIPLE DELIVERIES, INDICATE WHAT WAS DELIVERED/PROVIDED AND THE AMOUNT OF WHAT WAS DELIVERED/PROVIDED]

	Grantee	Vendor	Creative PO	Creative Procurement Officer
Designated POC Signature				
Printed Name				
Title				
Date				

¹ In the event that there are multiple deliveries under the in-kind agreement, this attachment should be completed each time there is a delivery according to the delivery schedule set out under Attachment 1.

ATTACHMENT 4

PROGRAM DESCRIPTION

1. The Grantee will use the materials described in Attachment 1 for purposes of **[INSERT PURPOSE]** [i.e., **responding to the January 2010 earthquake in Haiti**]. Evidence of use/consumption of materials or receipt of services must be retained by the grantee [i.e., **pictures of distribution activities, pictures of a training, training materials, sign in sheets, pictures of incorporating materials into a construction activity, etc.**]. When the equipment is no longer required for the intended purpose, or excess materials remain after completion of the intended purpose, the Grantee may retain the equipment/materials for **[INSERT PURPOSE]** [i.e., **future disaster response purposes**].

2. In addition, the Grantee will submit the Certificate of Completion set forth in Attachment 6 to the Creative POC following distribution of materials to beneficiaries. **[Modify this paragraph as appropriate. For commodities for immediate distribution, a date may be provided, i.e., three or six months. For goods being provided as preparedness, i.e., placed in country or the organization's stockpiles to respond as needed, it may not make sense to include this paragraph at all, in which case this paragraph and Attachment 6 may be deleted.]**

ATTACHMENT 5

MISCELLANEOUS PROVISIONS

1. This agreement may be amended upon the mutual, written consent of the parties.
2. No materials provided to the Grantee under this agreement may be sold, traded or transported out of [INSERT COUNTRY], or otherwise used for purposes inconsistent with this grant agreement.
3. The Grantee agrees that the materials and/or services provided under this award will not be made available for use of military, police, or security forces.
4. The Grantee 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. Allowing use of, directly or indirectly, of materials provided to entities associated with terrorism or allowing individuals associated with terrorism to benefit from services provided would be a violation. It is the responsibility of the Recipient to ensure compliance with these executive orders and laws.
5. The Grantee will take reasonable steps to ensure that [INSERT THE NAME OF THE CLIENT IF A MARKING/BRANDING PLAN APPLIES] identity (logo) is displayed when materials are distributed, together with a sign indicating that materials are "[INSERT THE DESIRED TAG LINE AGREED TO WITH THE CLIENT (IF APPLICABLE)]." [INSERT NAME OF CLIENT] identity attached as Annex A. **[Materials provided under the award should be marked/branded in accordance with applicable Client's policies/regulations (if applicable).]**

ATTACHMENT 6

CERTIFICATE OF COMPLETION

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

Authorized Representative Signature

Printed Name

Title

Date

[ATTACH ALL COPIES OF ANY RECEIPTS (ATTACHMENT 3) THAT WERE EXECUTED DURING THE COURSE OF IMPLEMENTATION]



CREATIVE

**FIXED AMOUNT AWARD (FAA)
TEMPLATE**

Introduction

This fixed amount award (FAA) template has been drafted to establish a common baseline for any Creative program administering FAA grant agreements.

Definition

A fixed amount award is a type of grant agreement that provides a specific level of support without regard to actual costs incurred by the Grantee. It reduces some of the administrative burden and record-keeping requirements for both Creative and the Grantee. Accountability is based primarily on performance and results.

For a FAA to be the appropriate means by which to enter into an agreement, it is critical that (1) the program description be specific, (2) adequate cost, historical, or pricing data be available to establish a reasonable and supported award value, and (3) that value can be proportionately assigned to deliverables and/or performance milestones to reflect the relative cost of the defined performance.

Payments for FAA agreements are based on the achievement of milestones or delivery of defined products. Therefore, the payment structure is extremely important because Creative pays the Grantee upon submission of deliverables and/or completion of milestones. A FAA agreement is considered complete upon payment of the final milestone and submission of a certification asserting completion.

Guidelines

This FAA grant template is intended to be a reference point for drafting an FAA grant agreement. This template is neutral of Creative's clients, however note that a FAA grant agreement may not be permissible by a particular client. Upon entering into a contractual or grant agreement with a client that requires Creative to administer and manage a grants program, this template will be tailored where needed to meet the needs of the client. With that being said, this template is fairly comprehensive and any tailoring will most likely be minimal. Prior to utilizing this template, Creative staff should consult the Grants Department under Field Administration.

Anything in this template that is highlighted in yellow should either be removed or replaced with its applicable information.

[INSERT DATE]

[INSERT GRANTEE NAME]

[INSERT GRANTEE ADDRESS]

Subject: Fixed Amount Award No. [INSERT AWARD NUMBER], under [INSERT REQUEST FOR APPLICATION/ANNUAL PROGRAM STATEMENT IF APPLICABLE] [INSERT AWARD TITLE](hereinafter "Grant Agreement")

Dear [INSERT GRANTEE CONTACT]:

Pursuant to the authority contained in Creative Associates International [contract OR cooperative agreement] with [INSERT NAME OF CLIENT] (hereinafter referred to as "Client"), Creative Associates International (hereinafter referred to as "Creative"), hereby awards to [INSERT NAME OF GRANTEE] (hereinafter referred to as "Grantee"), the sum of [INSERT AWARD AMOUNT IN LOCAL CURRENCY] payable in [INSERT LOCAL CURRENCY], according to the Milestone Schedule, Attachment 1, to support the subject award, as more fully described in the Program Description, Attachment 2.

By signing this Grant Agreement, the Grantee agrees that:

1. The Grantee will comply with the terms and conditions as set forth in this Grant Agreement, including the attachments listed following the signature below, which are incorporated as part of the Grant Agreement.
2. Grantee will maintain records of transactions related to the Grant Agreement for at least three years after payment of the final milestone. After the end of the Grant Agreement, Creative retains the right, at its discretion, to examine all or a sample of the Grantee's records or transactions related to the Grant Agreement where concerns of implementation irregularities arise.
3. Creative is not liable for any costs incurred by the Grantee in excess of the fixed value of the award, or for performance occurring outside of the grant period, as provided in the Schedule.
4. Unless otherwise provided in the Schedule, title to any equipment or personal property purchased to accomplish any milestones under this Grant Agreement vests in the Grantee upon acquisition, with the condition that the Grantee must use the equipment or property for the grant as long as it is needed for such.
5. Grantee will obtain Creative's written approval prior to any changes to: 1) the activities being supported by this Grant; 2) change in any key personnel such as principal investigator, project leader, or project partner; 3) the fixed amount of this Grant; 4) the milestones; or 5) change in the Grant Agreement completion date.
6. Creative will conduct monitoring of the grant program, including site visits as appropriate.
7. On submission of the voucher for payment for the final milestone, the Grantee must certify that the grant is completed and the Grantee will make no further claim against the Grantor after the final payment.

8. This award may be terminated by either party at any time, in whole or in part, 30 calendar days after receipt of written notification by the other party. If Creative terminates this award, the Grantee may submit a claim within 90 calendar days of such termination for any costs incurred in performance of any unpaid or incomplete milestones. Creative must determine the amount(s) to be paid by Creative to the Grantee under such claim in accordance with the legally applicable cost principles.

9. Any dispute under this award will be decided by Creative. Notwithstanding any other term of this award, the Grantee has no right to submit claims directly to the "Client" and Creative assumes no liability for any third party claims against the Grantee.

Please sign the original and each copy of this letter to acknowledge receipt and confirm acceptance of the Grant Agreement, and return the original and all but one copy to Creative.

Sincerely,

[INSERT NAME OF CREATIVE SIGNING AUTHORITY]

Creative Associates International

Attachments:

1. Schedule
2. Program Description
3. Branding Strategy and Marking Plan (as applicable per client)
4. Standard Provisions (as applicable per client)
5. Milestone Payment Voucher

ACKNOWLEDGED by Grantee's duly authorized representative:

Signature: _____

Name: [INSERT NAME OF GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

Title: [INSERT TITLE OF GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

Phone: [INSERT PHONE NO. GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

E-mail: [INSERT E-MAIL GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

ATTACHMENT 1

SCHEDULE

A. PURPOSE OF GRANT

The purpose of this Grant is to provide support for the program described in Attachment 2, Program Description.

B. GRANT PERIOD

The effective date of this Grant is [INSERT START DATE]. The completion date of this Grant is [INSERT END DATE] or [INSERT “UPON SUBMISSION OF THE FINAL MILESTONE” (see example below in Milestone Chart)].

C. AMOUNT OF AWARD AND PAYMENT

1. Creative hereby awards the amount of [INSERT AWARD AMOUNT IN LOCAL CURRENCY] for purposes of this Grant. See complete detailed Budget (Attachment 3).
2. Payment will be made to the Grantee upon presentation to Creative an original and two copies of a properly prepared milestone payment voucher (Attachment 6), with a certification that the Milestone being billed has been completed and providing any other documentation required by Creative specified with each milestone. Each voucher will be identified by the Grant number, specify the Milestone that is being billed, and the fixed amount associated with that Milestone. Payment shall be within 30 days after receipt of a proper voucher or the verification by Creative of milestone completion for which payment is requested, whichever is later. Creative reserves the right to withhold payment subject to milestone completion verification.

The Grantee is encouraged to submit the above referenced payment documentation as e-mail attachments to [INSERT NAME OF PERSON TO BE RECEIVING PAYMENT REQUESTS] at [INSERT E-MAIL ADDRESS OF PERSON TO BE RECEIVING PAYMENT REQUESTS]. Payment documentation may also be submitted in hard copy paper form to [INSERT NAME OF PERSON TO BE RECEIVING PAYMENT REQUESTS] at [INSERT ADDRESS OF PERSON TO BE RECEIVING PAYMENT REQUESTS].

D. GRANT AGREEMENT PERFORMANCE/PAYMENT SCHEDULE

1. Following is the Schedule of Milestones associated with the program which has been agreed upon between Creative and the Grantee, for funding under this Grant Agreement.
2. The accomplishment of each Milestone will be based on the successful submission or completion of the tasks or deliverables delineated for that Milestone.

Milestone	Description of Milestone	Required Deliverable(s)	Completion Date (if applicable)	Amount
1	[Example: Acceptance of a detailed work plan and monitoring and evaluation plan]	[Example: AOR approved work plan and M&E plan, showing concurrence by Ministry Agriculture]		\$
2				\$
3				\$
4				\$
5	[Example: Acceptance of Final Report]	[Example: AOR approved Final		\$

		Report, as described]		
TOTAL				\$

[MILESTONES ARE IN SEQUENTIAL ORDER UNLESS THE SCHEDULE PROVIDES OTHERWISE]

ATTACHMENT 2

1. STATEMENT OF PURPOSE

[INSERT]

2. BACKGROUND

[INSERT]

3. PROGRAM GOALS AND OBJECTIVES

[INSERT]

4. ACTIVITIES AND TIMELINES

Milestone/Description	Estimated Time to Complete	Detailed Activity and Output
1		
2		
3		
4		
5		

5. KEY PERSONNEL (if applicable)

[INSERT]

6. EXPECTED OUTCOMES

[INSERT]

7. PROJECT OVERSIGHT

[INSERT]

8. CLOSEOUT

[INSERT]

ATTACHMENT 3

**[INSERT CLIENT OR CREATIVE SPECIFIC BRANDING STRATEGY AND MARKING PLAN
IF APPLICABLE]**

ATTACHMENT 4

[INSERT CLIENT OR CREATIVE SPECIFIC PROVISIONS AS APPLICABLE]

ATTACHMENT 5

MILESTONE PAYMENT VOUCHER

Grant Number	
Grantee	
Grant Period of Performance	
Amount Requested	
Milestone Payment Number	
Backup Documentation Attached	

Milestone Number	Milestone Description	Amount in Local Currency

The undersigned hereby certifies:	
I certify that to the best of my knowledge and belief that the data above are correct and that all outlays were made in accordance with the grant conditions and that payment is due and has not been previously requested.	
Grantee Representative	
Title	
Signature	
Date	

For Internal Use

Summarize progress for achievement of this milestone	
Instructions: The Creative program manager should explain why each deliverable under the milestone plan was completed according to the requirements of the agreement.	
Total Budget	
Previously Paid Milestones	
Payment Requested Now	
Remaining Balance	

Creative Program Manager: Verified: _____ Date: _____

ANNEX L – SIMPLIFIED GRANT TEMPLATE



CREATIVE

SIMPLIFIED GRANT TEMPLATE

Introduction

This simplified grant template has been drafted to establish a common baseline for any Creative program administering simplified grant agreements under a USAID grants program. **The simplified grant format is specific to USAID grants only.**

Definition

A simplified grant agreement is a cost-reimbursable type grant agreement. It is a risky grant agreement for Creative to enter into with a grantee. A grant that uses the simplified grant format generally does not include any of the standard provisions used for USAID grants. Advance payments may be authorized if the conditions for advance payments in ADS 636 and 2 CFR 200 Subpart D apply. Simplified grant agreements must meet the following conditions in order to be utilized:

1. They cannot exceed the simplified acquisition threshold (\$250,000.00);
2. The grantee cannot purchase any goods or services, except as authorized pursuant to 22 CFR 228 or ADS 310, Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID or any applicable waivers, and the grantee will not purchase any single item that has a useful life over one year and a cost of \$5,000 or more;
3. The grantee has signed pre-award certifications as required in ADS 303.3.8 (see Attachment 2 of the template);
4. The grant requires the grantee to allow Creative access to its records for up to three years after the end date of the grant, and the recipient will refund Creative for any funds it receives for any costs that did not meet the terms and conditions of the grant;
5. All costs under the award are direct. No indirect costs are permissible;
6. The grant must be included in any audit required by 2 CFR 200 or ADS 591.3.2.

Guidelines

This simplified grant template is intended for USAID awards only. Prior to utilizing this template, Creative staff should consult the Grants Department under Field Administration.

[INSERT NAME OF GRANTEE]
[INSERT ADDRESS OF GRANTEE]
[INSERT GRANTEE DUNS# if greater than \$25,000]

[INSERT DATE]

Subject: [INSERT GRANT NUMBER]

Dear [INSERT GRANTEE POINT OF CONTACT]:

In response to your request for assistance dated [INSERT DATE OF REQUEST] I am pleased to award to [INSERT NAME OF GRANTEE ORGANIZATION] this grant in the amount not to exceed [INSERT AMOUNT IN LOCAL CURRENCY] as a contribution to your program to [INSERT BRIEF PROGRAM DESCRIPTION] during the period [INSERT START DATE OF GRANT] to [INSERT END DATE OF GRANT]. We understand that [INSERT NAME OF GRANTEE ORGANIZATION] will contribute goods and/or services valued at approximately [INSERT CONTRIBUTION AMOUNT IN LOCAL CURRENCY AND/OR SERVICES] to the program.²

Funds provided under this grant may be utilized to reimburse your organization for actual incurred costs of _____ required to complete the program. Requests for reimbursement shall be made to [INSERT NAME OF PERSON TO BE RECEIVING PAYMENT REQUESTS] at [INSERT E-MAIL ADDRESS OF PERSON TO BE RECEIVING PAYMENT REQUESTS]. Payment documentation may also be submitted in hard copy paper form to [INSERT NAME OF PERSON TO BE RECEIVING PAYMENT REQUESTS] at [INSERT ADDRESS OF PERSON TO BE RECEIVING PAYMENT REQUESTS].

By accepting this grant [INSERT NAME OF GRANTEE ORGANIZATION] agrees to:

1. Document that reasonable steps were taken to ensure that all purchases charged to the grant are at reasonable prices and from responsible sources;
2. Maintain complete records of all costs charged to the grant for a period of three years after the expiration of the grant and make such records available to Creative Associates International or its representatives for review at any time; and
3. At Creative Associates International's request, refund to Creative Associates International any funds received from Creative Associates International that represent reimbursement for any costs determined by Creative Associates International not to meet the terms and conditions of this grant.

Creative Associates International does not assume liability for any third party claims for damages arising out of this grant. Creative Associates International may terminate this grant upon 30 days written notice.

² This sentence only applies in the event that there is a cost share component that the grantee is contributing. In the event that the grantee is not contributing anything, this sentence should be removed.

Please sign the original and each copy of this letter to acknowledge your receipt of this grant and return the original to [INSERT NAME OF CREATIVE REPRESENTATIVE TO RECEIVE ORIGINAL SIGNED COPY].

Sincerely yours,

[INSERT NAME OF CREATIVE SIGNING AUTHORITY]

Attachments:

1. Detailed Budget
2. Pre-Award Certifications
3. Standard Provisions

ACKNOWLEDGED by the Grantee's duly authorized representative:

Signature: _____

Name: [INSERT NAME OF GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

Title: [INSERT TITLE OF GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

Phone: [INSERT PHONE NO. GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

E-mail: [INSERT E-MAIL GRANTEE'S DULY AUTHORIZED REPRESENTATIVE]

Attachment 1

Detailed Budget

[PLEASE INSERT THE FINALIZED DETAILED BUDGET UTILIZING THE GRANT TEMPLATE IN THE GRANT MANUAL.]

Attachment 2

[PLEASE INSERT THE FINALIZED PRE-AWARD CERTIFICATIONS PROVIDED IN THE RFA.]

Attachment 3

A copy of the full text of the Standard Provisions listed below can be found at the following link, <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>. If a copy of the standard provisions is preferred in lieu of utilizing the link, they can be provided upon request.

Standard Provisions

Mandatory Standard Provisions

1. USAID Eligibility Rules for Procurement of Commodities and Services (June 2012)
2. Title To and Use of Property (December 2014)

Provisions Required as Applicable

1. Cost Share (June 2012)

APPLICABILITY: *This provision is applicable when the recipient provides a Cost Share.*

2. Foreign Government Delegations to International Conferences (June 2012)

APPLICABILITY: *Include this provision in agreements funded from the following accounts:*

- *Development Assistance, including assistance for sub-Saharan Africa,*
- *Global Health Programs, and*
- *Micro and Small Enterprise Development Program Account.*

Further information found in the Mandatory Reference for ADS 303, "Guidance on Funding Foreign Government Delegations to International Conferences," (<http://www.usaid.gov/ads/policy/300/350maa>).

3. Travel and International Air Transportation (December 2014)

APPLICABILITY: *This provision is applicable when costs for international travel or air transportation of cargo are anticipated to be funded by USAID. This provision is not applicable if the recipient is providing for international travel costs with private funds as part of a cost-sharing requirement or with Program Income generated under this award.*

4. Reporting Host Government Taxes (June 2012)

APPLICABILITY: *This provision is applicable to all USAID agreements that obligate or subobligate FY 2003 or later funds except for agreements funded with Operating Expense, Pub. L. 480 funds, or trust funds, or agreements where there will be no commodity transactions in a foreign country over the amount of \$500. Please insert address and point of contact at the Embassy, Mission, or M/CFO/CMP as appropriate under section (b) of this provision.*

Annex 2

Program Budget

(below is a sample budget summary, please replace with the grant budget)

Summary Budget	Grant funds	Cost Share	In-Kind	Total
Personnel				
Materials and Supplies				
Travel and Transportation				
Activities				
Other Direct Costs				
Total Budget LC				
Total Budget USD				

Request for Reimbursement Form

Grant Number		Date	
Project Title			
Grantee Name			
Reporting Period			

	Budget Categories	Budget	Expended This Period	Expended Previously	Expended Cumulative	Remaining Balance
1	Personnel	0.00	0.00	0.00	0.00	0.00
2	Materials and Supplies	0.00	0.00	0.00	0.00	0.00
3	Travel and Transportation	0.00	0.00	0.00	0.00	0.00
4	Activities/Program Costs	0.00	0.00	0.00	0.00	0.00
5	Other Direct Cost	0.00	0.00	0.00	0.00	0.00
	TOTAL	0.00	0.00	0.00	0.00	0.00

The undersigned hereby certifies:

I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.”

Grantee Representative	
Title	
Signature	

Date	
------	--

**Annex 4
Progress Report Template**

Reporting Period	
------------------	--

Grant Number		Date	
Project Title			
Grantee Name			
Reporting Period			

Progress made this period on activities implemented per work-plan and timetable.

--

Challenges and/or problems encountered during the period.

--

Action taken to overcome challenges/problems during the period.

--

Lessons Learned

--

Activities planned for next period

--

Indicator Report:

Certification:	
The undersigned hereby certifies that this progress reports and any attachments are to the best of my knowledge and belief correct and complete	
Grantee Representative	
Title	
Date	

Annex 5

Branding Strategy and Marking Plan

[insert branding strategy and marking plan from the grantees application]

ANNEX M – STANDARD GRANT TEMPLATE



CREATIVE
STANDARD GRANT
TEMPLATE

Introduction

The Standard Provisions that follow are for Non-U.S. Non-Governmental Organizations for USAID specific agreements.

Guidelines

The full list of Standard Provisions that follow are applicable to Standard Grants only. However, it should be noted that the provisions are split – those that are mandatory and those that are required as applicable. It is important to review those provisions under “Required as Applicable” and to incorporate only the ones that are applicable.

Anything in this template that is highlighted in yellow should either be removed or replaced with its applicable information.^{Page Break}

The following is a link to the Standard Provisions for Non-U.S. Nongovernmental Organizations. Should a hard copy be required, one can be provided via request.

<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

Mandatory Provisions

1. Allowable Costs (December 2014)
2. Accounting, Audit, and Records (October 2017)[**ONLY INSERT THIS PROVISION IF THE GRANT AGREEMENT IS MORE THAN \$10,000**]
3. Amendment of Award and Revision of Budget (August 2013)
4. Notices (June 2012)
5. Procurement Policies (June 2012)[**ONLY INSERT THIS PROVISION IF THE GRANT AGREEMENT IS ABOVE THE MICRO PURCHASE THRESHOLD**]
6. USAID Eligibility Rules for Procurement of Commodities and Services (June 2012)
7. Title To and Use of Property (December 2014)
8. Submissions to the Development Experience Clearinghouse and Data Rights (June 2012)
9. Marking and Public Communications Under USAID-Funded Assistance (December 2014)
10. Award Termination and Suspension (December 2014)
11. Recipient and Employee Conduct (August 2013)
12. Debarment and Suspension (June 2012)
13. Disputes and Appeals (December 2014)
14. Preventing Terrorist Financing (August 2013)
15. Trafficking in Persons (April 2016)
16. Voluntary Population Planning Activities – Mandatory Requirements (May 2006)
17. Equal Participation by Faith-Based Organizations (June 2016)
18. Nondiscrimination (June 2012)
19. USAID Disability Policy – Assistance (June 2012)
20. Limiting Construction Activities (August 2013)
21. USAID Implementing Partner Notices (IPN) Portal for Assistance (July 2014)

22. **Pilot Program for Enhancement of Grantee Employee Whistleblower Protections (September 2014)**
23. **Submission of Datasets to the Development Data Library (October 2014)**
24. **Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements (May 2017)**
25. **Child Safeguarding (June 2015)**
26. **Mandatory Disclosures (July 2015)**
27. **Nondiscrimination Against Beneficiaries (November 2016)**

Provisions Required as Applicable

1. Advance Payment and Refunds (December 2014)

APPLICABILITY: This provision must be incorporated into awards that authorize advance payments, which may be authorized when the recipient's accounting and financial management systems conform to the accounting principles generally accepted for funds control and accountability required under the Standard Provision, "Accounting, Audit, and Records," and meet the pre-award responsibility requirements in ADS Chapter 303.

2. Reimbursement Payment and Refunds (December 2014)

APPLICABILITY: This provision must be incorporated into awards that authorize payment by reimbursement.

3. Indirect Costs – Negotiated Indirect Cost Rate Agreement (NICRA)(December 2014)

APPLICABILITY: This provision is only applicable to awards to recipients that currently have a Negotiated Indirect Cost Rate Agreement (NICRA).

4. Indirect Costs – Charged As a Fixed Amount (Nonprofit)(June 2012)

APPLICABILITY: This provision is applicable to awards where all of the following are true: 1) the recipient has never received a Negotiated Indirect Cost Rate Agreement (NICRA); 2) the recipient has chosen not to use the 10% de minimis rate authorized in 2 CFR 200.414(f)); and 3) the indirect costs are not included as other direct costs in the budget. When using this provision, all indirect costs must be charged as a fixed amount and must be shown as a separate line item in the budget.

5. Universal Identifier and System of Award Management (July 2015)

APPLICABILITY: This provision is required in accordance with 2 CFR 25, Universal Identifier And System of Award Management. Agreement Officers (AOs) must include this provision in all assistance solicitations and all awards, unless the AO exempts an organization from compliance with the provision under one of the following exceptions, from paragraph d. below:

Exceptions. The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the System of Award Management (SAM) do not apply, at the prime award or subaward level, to:

- (1) Awards to individuals
- (2) Awards less than \$25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)
- (3) Awards where the AO determines, in writing, that these requirements would cause personal safety concerns.

6. Reporting Subawards and Executive Compensation (December 2014)

APPLICABILITY: This provision is required in accordance with 2 CFR 170, Award Term for Reporting Subawards and Executive Compensation. AOs must include this provision in all assistance solicitations and all awards expected to exceed \$25,000, unless an exemption applies under paragraph d. of the provision or the exemptions listed below in this applicability statement. If the AO determines that an exemption applies, the AO must provide guidance to the recipient on reporting with generic information.

Exemptions.

(1) The requirements to report under this provision do not apply to:

- (i) Awards to individuals
- (ii) Awards less than \$25,000

(2) When the AO determines, in writing, that these requirements would cause personal safety concerns, reporting under this provision can be accomplished using generic information.

7. Subawards (December 2014)

APPLICABILITY: This provision is applicable when subawards are expected to be financed under this award.

8. Travel and International Air Transportation (December 2014)

APPLICABILITY: This provision is applicable when costs for international travel or air transportation of cargo are anticipated to be funded by USAID. This provision is not applicable if the recipient is providing for international travel costs with private funds as part of a cost-sharing requirement or with Program Income generated under this award.

9. Ocean Shipment of Goods (June 2012)

APPLICABILITY: This provision is applicable for awards and subawards for which the recipient contracts for ocean transportation for goods purchased or financed with USAID funds. In accordance with 22 CFR 228.21, ocean transportation shipments are subject to the provisions of 46 CFR Part 381.

10. Reporting Host Government Taxes (June 2012)

APPLICABILITY: This provision is applicable to all USAID agreements that obligate or subobligate FY 2003 or later funds except for agreements funded with Operating Expense, Pub. L. 480 funds, or trust funds, or agreements where there will be no commodity transactions in a foreign country over the amount of \$500. Please insert address and point of contact at the Embassy, Mission, or M/CFO/CMP as appropriate under section (b) of this provision.

11. Patent Rights (June 2012)

APPLICABILITY: This provision is applicable to awards to small business firms or nonprofit organizations for the performance of experimental, developmental, or research work funded in whole or in part with USAID funds.

12. Exchange Visitors and Participant Training (June 2012)

APPLICABILITY: This provision applies to awards that contain funding for any exchange visitor activities or participant training, as defined in [ADS 252](#) and [253](#), respectively, conducted or paid for by the recipient with USAID funds under this award.

13. Investment Promotion (November 2003)

APPLICABILITY: The following provision is required for grants and cooperative agreements when the program includes gray-area activities or investment-related activities where specific

activities are not identified at the time of obligation but could be for investment-related activities, as described in [ADS 225](#) (see 225.3.)

14. Cost Share (June 2012)

APPLICABILITY: This provision is applicable when the recipient provides a Cost Share.

15. Program Income (December 2014)

APPLICABILITY: This provision is applicable when Program Income is expected to be earned under this award. The default for non-commercial organizations is that Program Income is added to total program amount. Alternatively, this award may stipulate in the Schedule of this award: 1) Program Income is used to finance the non-USG share of this award, or 2) Program Income is deducted from the USG share of this award in a cost-share scenario.

16. Foreign Government Delegations to International Conferences (June 2012)

APPLICABILITY: Include this provision in agreements funded from the following accounts:

- Development Assistance, including assistance for sub-Saharan Africa,
- Global Health Programs, and
- Micro and Small Enterprise Development Program Account.

Further information found in the Mandatory Reference for ADS 303, "Guidance on Funding Foreign Government Delegations to International Conferences,"

(<http://www.usaid.gov/ads/policy/300/350maa>).

17. Standards for Accessibility for the Disabled in USAID Assistance Awards Involving Construction (September 2004)

APPLICABILITY: This provision must be included in Request for Applications (RFAs) and in awards involving construction.

18. Protection of Human Research Subjects (June 2012)

APPLICABILITY: This provision is applicable when human subjects are involved in research financed by this award, as defined in 22 CFR 225 and ADS 200 Mandatory Reference, "Protection of Human Subjects in Research Supported by USAID." The AO should confer with the Activity Manager to determine if any research with human subjects will be included in the award.

19. Statement for Implementers of Anti-Trafficking Activities on lack of Support for Prostitution (June 2012)

Applicability: This provision must be included in any award that

(1) uses funds made available to carry out the Trafficking Victims Protection Act of 2000, Division A of P.L. 106-386; and

(2) covers a program that targets victims of severe forms of trafficking in persons (as defined below) and provides services to individuals while they are still engaged in activities that resulted from such victims being trafficked.

"Severe forms of trafficking in persons" means

(1) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or

(2) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

20. Eligibility of Subrecipients of Anti-Trafficking Funds (June 2012)

APPLICABILITY: This provision must be included in any award that uses funds made available to carry out the Trafficking Victims Protection Act of 2000, Division A of P.L. 106-386, for a program that targets victims of severe forms of trafficking in persons. “Severe forms of trafficking in persons” means

(1) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or
(2) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

21. Prohibition on the Use of Anti-Trafficking Funds to Promote, Support, or Advocate for the Legalization or Practice of Prostitution (June 2012)

APPLICABILITY: This provision must be included in any award that uses funds made available specifically under the Trafficking Victims Protection Act of 2000, Division A of P.L. 106-386.

22. Voluntary Population Planning Activities – Supplemental Requirements (January 2009)

APPLICABILITY: This provision is applicable to all awards involving any aspect of voluntary population planning activities.

23. Conscience Clause Implementation (Assistance)(February 2012)

APPLICABILITY: This provision must be included in any new assistance award or amendment to an existing award (if not already incorporated into the agreement) obligating FY04 or later funds made available for HIV/AIDS activities, regardless of the program account. Further guidance is found in AAPD 14-04, Section 2.D.

24. Condoms (Assistance)(September 2014)

APPLICABILITY: This provision must be included in any new Request for Applications (RFA) or Annual Program Statement (APS), and any new assistance award or amendment to an existing award obligating or intending to obligate (in the case of solicitations) FY04 or later funds made available for HIV/AIDS activities, regardless of the program account.

25. Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking (Assistance)(September 2014)

APPLICABILITY: This provision must be included in any new Request for Applications (RFA) or Annual Program Statement (APS), and any new assistance award or amendment to an existing award obligating or intending to obligate (in the case of solicitations) FY04 or later funds made available for HIV/AIDS activities, regardless of the program account. Further guidance is found in AAPD 14-04, Section 2.E.

26. Limitation on Subawards to Non-Local Entities (July 2014)

APPLICABILITY: For use in all solicitations and resulting awards where competition is limited to local entities. This provision must be used for all awards financed fully or in part with FY14 funds. Please refer to ADS 303, section 303.3.6.6 a.(2), “Other Exceptions to Competition – Local Competition” for additional guidance.

27. Contract Provision for DBA Insurance Under Recipient Procurements (December 2014)

APPLICABILITY: The following provision is required when the recipient is expected to procure services to be performed overseas.

28. Contract Award Term and Condition for Recipient Integrity and Performance Matters (April 2016)

APPLICABILITY: This provision must be incorporated into awards if the total federal share of the award may include more than \$500,000 over the period of performance.

29. Protecting Life in Global Health Assistance (May 2017)

APPLICABILITY: This provision is applicable to those awards using federal funding predictably for international health activities with a primary purpose or effect of benefitting a foreign country, typically funded from the GHP, ESF, AEECA, or successor accounts, as applicable, including awards reported on under the Health category of the Foreign Assistance Standardized Program Structure, except those under program area HL.8, Water Supply and Sanitation, the American Schools and Hospitals Abroad Program, or programs funded by Food for Peace. This provision applies whenever implementation of the activity involves assistance to or implemented by foreign nongovernmental organizations.



CREATIVE

**BRANDING AND MARKING
TEMPLATE**

Attachment: 6

Branding Strategy and Marking Plan

(Insert Branding Strategy and marking Plan)

Branding Strategy

1. What is the intended name of this project/activity:

The name of the project/activity is [insert project name]

Note: Include the name of the project/activity in the local language, if other than English.

[grantee's name] will use full branding and the USAID tagline "from the AMERICAN people" on all materials and communications, see attached copy of project/activity logo. [delete this sentence if it is not applicable]

2. Program Communications and Publicity:

The primary and secondary audiences for all communication and project materials produced for the project/activity are:

Primary audience:

Secondary audience:

The main project/activity message is: [insert project/activity message]

[Guidance: What communications or program materials will be used to explain or market the program to beneficiaries?]

All messages, materials and events will be branded as funded by USAID and prepared by [grantee's name] as part of the [project title] project. As such, all messages, materials and events will acknowledge that they were produced with support "from the AMERICAN people." If it is deemed necessary to translate materials into a local language, [grantee's name] will comply with USAID's Graphic Standards Manual regarding the translation of the USAID brand mark and tag line [delete the last sentence if it is not applicable].

(Below is a list of materials and events that can be used to acknowledge USAID's funding of the project/activity, please adjust the list of activities below as needed)

Press releases
Press conferences
Media interviews
Wall plaque
MOU/Grant Agreement signing
Banners
Site visits
Success stories
Beneficiary testimonials
Professional photography
PSAs
Videos

Webcasts, e-invitations, blast e-mails, or other internet activities

The following key milestones or opportunities are anticipated to generate awareness of the project/activity:

(Guidance: The milestones may be linked to specific points in time, such as at the beginning or end of a program, or to an opportunity to showcase reports, training sessions or other materials. Please adjust the list below to project specific milestones).

- Training events,
- Communicating program impact/overall results.

3. ACKNOWLEDGEMENTS

ACKNOWLEDGING HOST-COUNTRY GOVERNMENTS [delete this section if it is not applicable]

(Guidelines: Will there be any direct involvement from the host government ministry? If yes, indicate which ones, how will they be acknowledged, as co-sponsors? Indicate if they are also donors or why they will be visibly acknowledged and if they will receive the same prominence as USAID)

ACKNOWLEDGING OTHER HOST-COUNTRY PARTNERS [delete this section if it is not applicable]

(Guidance: Co-branding with civil society groups is allowable when they have contributed funds to the activity. Co-branding with in-country partners may also be desirable when trying to promote local ownership and capacity building. However, if the activity is fully funded by USAID, CO approval is required for any exceptions to full branding requirements.)

Marking Plan

1. Public Communications, Commodities, and Program Materials

Table 1 below outlines the types of materials that will be produced under the USAID [insert project title] project. *(Guidance: Any materials that are not anticipated below, but are produced under the initiative, will also be subject to branding guidelines and approval. Please note that marking is not required on items used as part of the administration of the project, such as letterhead, name tags, business cards, and office space. The goal is to mark programs and projects, and not grantees.)*

Marking for [project title] project will be in compliance with USAID’s *Graphic Standards Manual* as related to equipment, reports, studies, events, and public communication (including printed products, audio, visual, and electronic materials).

All studies, reports, publications, Web sites, and all informational and promotional products not authored, reviewed, or edited by USAID will contain a provision substantially as follows:

“This study/report/Website [insert title] is made possible by the support of the American People through the United States Agency for International Development (USAID.) The contents of this study/report/ Website [insert title] are the sole responsibility of [grantee name] and do not necessarily reflect the views of USAID or the United States Government.”

Note: Include the above paragraph in the local language, if other than English

TABLE 1. MARKING PLAN FOR MATERIALS TO BE PRODUCED

Deliverable	Type of Marking	Remarks
Administrative		
Project deliverables	Follows USAID Graphics Standard Manual guidelines for full branding	
Website	Follows USAID Graphics Standard Manual guidelines for full branding (If applicable)	
Technical		
Technical reports and studies	The USAID identity will be printed on the cover of documents; design follows USAID Graphics Standard Manual guidelines for full branding unless co-branding is acceptable or an exception is granted for no branding.	
Briefing papers, memoranda, and policy recommendations	The USAID identity will be printed on the cover of documents; design follows USAID Graphics Standard Manual guidelines for full branding guidelines unless co-branding is acceptable or an exception is provided for no branding.	
Government policies, strategies, plans, and guidelines (regional, national, and sub-national levels) or other materials positioned as being from the host-country government	Follows USAID Graphics Standard Manual guidelines for full branding (if applicable)	

Organizations' policies, strategies, plans, and guidelines (e.g., an NGO's procedures manual for malaria logistics, a workplace antidiscrimination policy) or other materials positioned as being from the host-country partner	Follows USAID Graphics Standard Manual guidelines for full branding (if applicable)	
Training materials and manuals	The USAID identity will be printed on the spine and cover of documents; design follows guidelines for full branding unless co-branding is acceptable or an exception is granted for no branding.	
CDs-ROM	The USAID identity will be printed on the CD label, splash screen/menu, and packaging; design follows guidelines for full branding unless co-branding is acceptable or an exception is granted for no branding.	
PowerPoint presentations	The USAID identity is required on title breaker slides; design follows guidelines for the full branding unless co-branding is acceptable or an exception is granted for no branding.	
Conference posters and presentations	The USAID identity will be printed on the poster or presentation; design follows guidelines for professional meetings or full branding unless co-branding acceptable or an exception is granted for no branding.	
Videos	Not applicable	
Program materials	The USAID identity printed on the materials; design follows guidelines for full branding.	
Technical web portal	Follows guidelines for co-branding; the USAID identity will be included on the homepage and sub-pages as appropriate	Individual documents included on the portal will be branded as appropriate.
Promotional		
Event signs, banners, and exhibition booths materials	The USAID identity will be printed on the materials; design follows guidelines for full branding unless co-branding is acceptable or an exception is granted for no branding.	
Project promotional materials (e.g., success stories, beneficiary announcement of research, testimonials, findings, or project results)	The USAID identity printed on the materials; design follows guidelines for full branding. USAID funding mentioned in text.	

Materials for policy launch	The USAID identity printed on the materials; design follows guidelines for full branding.	
Materials for site visits	The USAID identity printed on the materials; design follows guidelines for full branding.	
Commodities	Not applicable	

The following project/activity deliverable(s) will not be marked with USAID identity	
Derivable	



CREATIVE

**PROJECT INVENTORY
TEMPLATE**

Project Name:
 Contract No.:
 Task Order No:
 Country:

Type of Equipment & Description	Inventory # (e.g. USAID Sticker No.)	Equipment Description				Purchase Order Number (7)	Purchase Date (8)	Unit Cost (9)	Purchase Price (10)	Vendors: Procurement & Local		Delivery & Installation Status			Installation Location				Date of Warranty (start/end) (20)	Is Equipment in Creation Custody (Y/N) (21)
		Quantity (3)	Make or Manufacturer (4)	Model (5)	Serial or Registration # (6)					Procurement Vendor (11)	Local Vendor Warranty & Service (12)	Installed, Returned, Waiting Repair, Repaired (13)	Date (14)	Vendor and Where Currently Located (15)	Office (16)	Street Address (17)	City (18)	Country (19)		
I. Motor Vehicles																				
Subtotal I - Motor Vehicles																				
II. General Office/Office Furniture																				
Subtotal II - General Office/Office Furnishing																				
III. Computer Equipment																				
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Entry									\$0											
Subtotal III - Computer Equipment									\$0											
IV. Audio Visual Equipment																				
Entry																				
Entry																				
Entry																				
Entry																				
Entry																				
Entry																				
Entry																				
Subtotal IV - Audio Visual Equipment									\$0											
Total I,II,III & IV									\$0											

Instructions For Inventory Form

For Vendors:

Mandatory Columns of Information

(1)	Type of Equipment & Description.	Please insert type (PC, server, laptop, router, switch, desk, truck, etc.)
(3)	Quantity	Often will be 1. May be a box, meters, or other actual quantity depending on the item.
(4)	Make or Manufacturer	Manufacturer or Assembler of the item.
(5)	Model	Actual manufacturer's model, such as a HP 5100 DTN printer
(6)	Serial or Registration #	Actual number taken off the plate or tag on the equipment.
(11)	Procurement Vendor	Your company name, as the prime vendor in the procurement of this item

For BearingPoint

Mandatory Columns of Information

(2)	Inventory # (e.g. USAID Sticker No.)	Please insert after sticker is applied
(7)	Purchase Order Number	From Creative paperwork issued to the vendor
(8)	Purchase date	From Creative paperwork issued to the vendor
(9)	Unit Cost	From Creative paperwork issued to the vendor
(10)	Purchase Price	This usually will be equal to the unit cost times the quantity. It does not include shipping, insurance, delivery charges.
(12)	Local Vendor for Warranty & Service	The name of the in-country provider of warranty, installation, service
(13)	Installed, Returned, Waiting, Status	Current status of the item, whether installed, returned to vendor, waiting return, repaired
(14)	Date	Date of column (13)'s Status. For example, date installed, or date returned to vendor.
(15)	Vendor & Where Currently Located	If returned or in repair, describe where the item is located.
(16)	Office	Name of office & Ministry or agency where item is installed or stored.
(17)	Street Address	Street address of where item is installed or stored.
(18)	City	City of where item is installed or stored.
(19)	Country	Country of where item is installed or stored.
(20)	Date of Warranty	Date on which Warranty starts/ends. Usually start date is when accepted. End date is determined by what is in the contract with the vendor.
(21)	Is Equipment in Creative Custody?	Yes/No of whether the equipment is in Creative rather than the clients custody

Optional Columns of Information. The following are to filled in only when Creative has retained custody of the item.

(22)	Value Turned Over	Will usually be the same as Purchase Price, unless Creative has had custody for some period of time. Then, this Value Turned Over is a depreciated value.
(23)	Equipment Turn-Over Date	Date on which the equipment was turned over by Creative to the client.
(24)	Equipment Value in Creative Custody	This is the depreciated value of an item being held in Creative custody. It will start out as the Purchase Price, and then depreciate yearly during Creative custody.
(25)	Estimated Average Age Contractor held Property (Years)	Length of time that the contractor (Creative) has retained custody.

Furniture & Equipment Receipt Form

Employee Name:

No.	ITEMS	Inventory #	Condition
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			
21			
22			
23			
24			
25			
26			
27			
28			
29			
30			

I confirm having received the above items today. Condition of items is indicated below :

Employee Signature:

I confirm having today distributed the items on this list to the abovementioned employee

Administrative Assistant Signature & Date

Furniture & Equipment Release Form

Employee Name:

No.	ITEMS	Inventory #	Condition
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			
21			
22			
23			
24			
25			
26			
27			
28			
29			
30			

I confirm having returned the above items today. Condition of items is indicated below :

Employee Signature:

I confirm having today received the items on this list to the above mentioned employee

Administrative Assistant Signature & Date

Annex P - Grant Master File



CREATIVE

**GRANT MASTER FILE
TEMPLATE**

Annex Q - Grant Master File

Project Title		
Grantee Name		
Grant Documents	Status	Comments
Grantee Proposal	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Grant Negotiation Memorandum	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Signed Grant Agreement	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Pre-award Certification	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Signed Amendments	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
USAID Concurrence/Clearance Form (including print-outs of concurrence emails), where applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grant Budget and any Budget Amendments	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grant Correspondence	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grantee Vetting Confirmation(Visual Compliance and CIDS)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Proposal Competition Record	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Environmental Compliance Form	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Application Review & Evaluation Form	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Award Letter	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Financial & Management Capability Questionnaire	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grantee Assessment	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grant Close-out letter, if applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Waivers, if applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Procurement Documents	Status	Comments
Bidding Documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Procurement Negotiation Memorandum	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
In-kind agreements with vendors, if used	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
If a single item worth \$5,000 or more was given to a grantee, the file must include an inventory list of such goods and equipment and the CO's disposition permission.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Financial Documents	Status	Comments
Financial documents, to include receipts for cost share and or other contributions are located with the finance department.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Reporting & Evaluation Document	Status	Comments
Progress Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Financial Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Final Progress Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Final Financial Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Monitoring Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Payment of Foreign Tax Report	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Final Evaluation (when applicable)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Additional demonstration of activities (i.e. photographs, cassette tapes of radio PSA, video tapes of conference events, newspaper clippings, and so on.)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grant paperwork beyond a single copy of the items on this checklist can be disposed of after closeout	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Enrichment Manager:

ANNEX – GRANTS CLOSEOUT CHECKLIST



CREATIVE

GRANT CLOSEOUT CHECKLIST TEMPLATE

Grant Close-Out Checklist

Project Title	
Grantee Name	

Grant Documents	Status	Comments
Is the Master File up-to-date	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Are there any documents missing	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Is the Master File ready for AUDIT	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Has the Grantee submitted the Certification of Completion	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Grant Financials	Status	Comments
Has the Grant been reconciled	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Have unspent funds been de-obligated	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Was the Grantee overpaid, if so has a letter been sent to the Grantee to return the funds	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Grant Award	\$	
Disbursements	\$	
De-Obligated	\$	
Unexpended funds collected	\$	
Total	\$	
Does this grantee need to be Audited	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
Has the DCOP approved the reconciliation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Content	Status	Comments
	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

Enrichment Manager:

COP/DCOP Approval: