



PATH TO PRIME AND ROAD TO SUSTAINABILITY

A COMPENDIUM OF RESOURCES FOR LOCALIZATION

UPDATED ON: September 22, 2024

ASAP II

ACCELERATING SUPPORT TO ADVANCED LOCAL PARTNERS II

ACKNOWLEDGEMENTS

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Additional Resources Available

www.intrahealth.org/ASAP-Resources

ON-DEMAND WEBINARS

Available in ENGLISH, FRANÇAIS, & PORTUGUÊS

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PROJECT BACKGROUND

Accelerating Support to Advanced Local Partners II (ASAP II) is supported by the United States Agency for International Development (USAID) and is a twenty-six-month project from May 31, 2022, to July 30, 2024 (contract# 7200AA22C00041). ASAP II supports USAID Missions and provides customized risk and capacity development support to local organizations and government entities to prepare them to manage and implement USAID/PEPFAR programs as prime partners in FY 2022 and 2023. ASAP II is a follow-on to ASAP which was a four-year and five-month contract from April 1, 2017, to May 30, 2022 (contract# 7200AA18R00084). Both contracts had the same overall goal and objectives.

Goal: To ensure that local organizations have the capabilities and resources to act as prime partners for USAID/PEPFAR programming.

Objectives

1. Strengthen local organizations as they transition to receive PEPFAR funding as a USAID prime partner to comply with regulations.
2. Prepare local organizations to directly manage, implement, and monitor PEPFAR programs, and maintain consistent PEPFAR program achievement and quality.

The ASAP II consortium is led by IntraHealth International as prime partner, with major subcontractors, including Deloitte Consulting LLP (Deloitte) for government-to-government (G2G) support, Right to Care (RTC) for Strategic Information (SI) support, SustainAbility Solutions (SSA) for pre-award assessments and training in United States Government (USG) Rules and Regulations, and the Foundation for Professional Development (FPD) for accredited training and peer-to-peer learning opportunities.

OVERVIEW OF THE MANUAL

The purpose of this manual is to share valuable resources on USAID policies, resources, tools, and templates to reduce risk and increase long-term capacity on the path to becoming a Prime Partner and long-term sustainability for effective localization. This manual includes online resources available on:

ASAP II website: <https://www.intrahealth.org/asap-resources>

PEPFAR: <https://www.state.gov/pepfar/>

WorkwithUSAID: <https://www.workwithusaid.gov/>

USAID Learning Lab: <https://usaidlearninglab.org/>

USAID Global Health Learning Center: <https://www.globalhealthlearning.org/>

This manual of online resources is intended to be updated as new policies are released and additional resources are created. This version released in June 2024 covers the following technical areas and topics:

1. **THE PRESIDENTS FUND FOR AIDS RELIEF (PEPFAR)**
2. **UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID)**
 - 2.1. WorkingwithUSAID.gov
 - 2.2. USAID Localization
 - 2.3. Understanding USAID Policies and Procedures
 - 2.3.1. Register to Work with USAID
 - 2.3.2. Understanding USAID Award Types
 - 2.3.3. Understanding Required Compliance Provisions
 - 2.3.4. USAID Implementation Policy Documents
 - 2.4. USAID Proposal Writing

3. PRE-AWARD SURVEYS FOR NON-US ORGANIZATIONS
4. CAPACITY DEVELOPMENT PLAN
5. NGO GOVERNANCE AND LEADERSHIP
6. FINANCIAL MANAGEMENT AND COMPLIANCE
7. RISK MANAGEMENT
8. PROCUREMENT AND LOGISTICS
9. PROPERTY MANAGEMENT
10. INFORMATION TECHNOLOGY
11. SUBAWARD MANAGEMENT
12. HUMAN RESOURCES
13. GENDER
14. COMMUNICATIONS
15. MONITORING AND EVALUATION
16. ENVIRONMENTAL MITIGATION AND MANAGEMENT
17. WEBINARS
18. COMMUNITIES OF PRACTICE

For each topic, you will find the following sections if/when applicable:

1. Policies
2. Training Material
3. Webinars
4. Resources
5. Templates
6. Capacity Standards

1. PRESIDENT'S EMERGENCY PLAN FOR AIDS RELIEF (PEPFAR)

POLICIES

- [PEPFAR: Five-Year Strategy](#)
- [PEPFAR: Reimagining PEPFAR's Strategic Direction](#)
- [PEPFAR: Branding Guidance](#)
- [PEPFAR: 2023 Country and Regional Operational Plan \(COP/ROP\) Guidance for all PEPFAR-Supported Countries](#)

Within the Government of the United States of America, the Bureau of Global Health Security and Diplomacy leads, manages, and oversees the U.S. President's Emergency Plan for AIDS Relief (PEPFAR). Through PEPFAR, the U.S. government has invested over \$110 billion in the global HIV/AIDS response, the largest commitment by any nation to address a single disease in history, saving more than 25 million lives, preventing millions of HIV infections, and accelerating progress toward controlling the global HIV/AIDS pandemic in more than 50 countries.

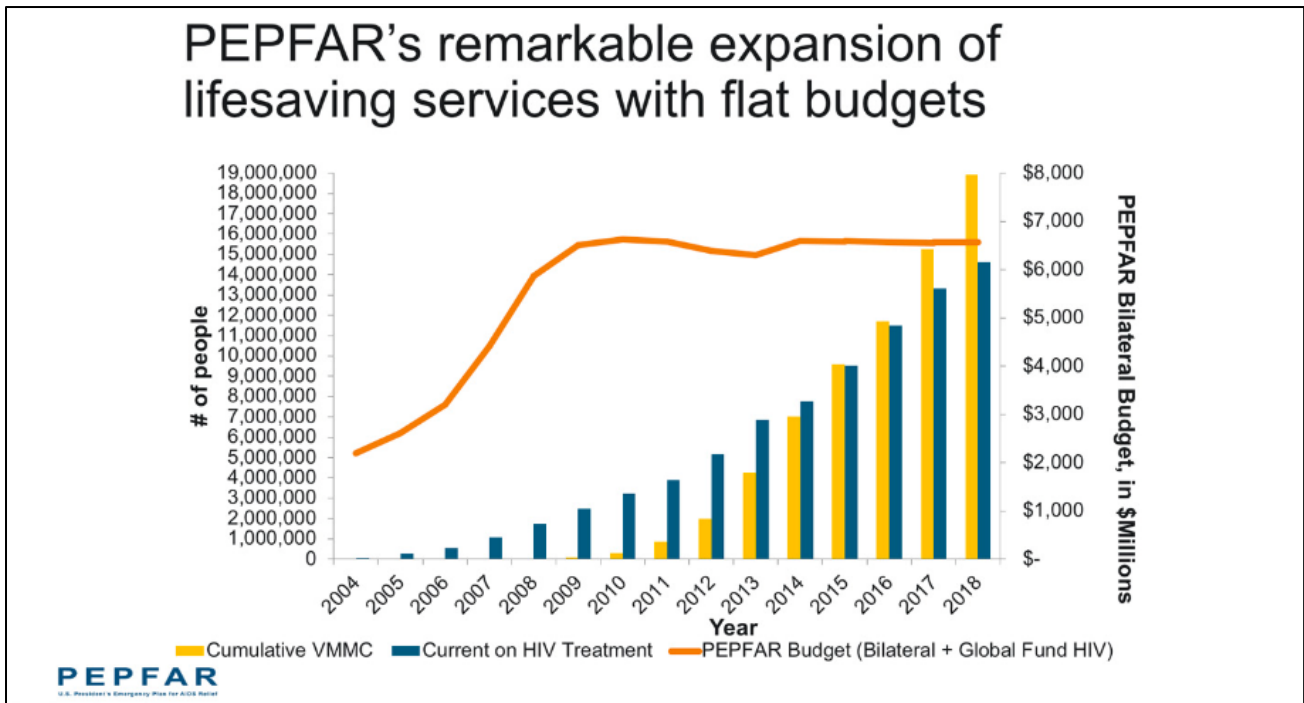
PEPFAR is the largest commitment by any nation to address a single disease in history, enabled by strong bipartisan support across ten US congresses and for presential administration and through the American people's generosity. PEPFAR shows the power of what is possible through compassionate, cost-effective, accountable,

and transparent American foreign assistance.¹ PEPFAR is managed and overseen by the U.S. Department of State's Office of the U.S. Global AIDS Coordinator and Health Diplomacy. PEPFAR leverages the power of a whole-of-government approach to controlling the global HIV/AIDS epidemic, implemented by seven other U.S. government departments and agencies:

1. US Agency for International Development
2. US Department of Health and Human Services
3. Centers for Disease Control and Prevention
4. Health Resources and Service Administration
5. National Institutes of Health
6. U.S. Department of Defense
7. Peace Corps
8. U.S. Department of Labor
9. U.S. Department of Labor
10. U.S. Department of Commerce
11. U.S. Department of the Treasury



¹ <https://www.state.gov/about-us-pepfar/>



PEPFAR's transformative, lifesaving impact is unassailable, but our work is not finished for the country and PEPFAR uses [granular data](#) and [surveys](#) to understand and rapidly confront these to accomplish our mission. The HIV/AIDS pandemic continues to evolve in every community and changes. The HIV/AIDS pandemic continues to evolve in every community and changes. PEPFAR is defined by the constant change needed to address new risk groups, new health challenges, and persistent gaps.

In April 2018, PEPFAR announced a goal to direct 70 percent of USAID/PEPFAR funds to local partners through direct prime awards to achieve country ownership of the HIV response. Through this initiative, PEPFAR and USAID have steadily increased the delivery of HIV prevention, care, and treatment services by local organizations and partner country governments. USAID is currently working around the world to transition HIV service delivery to local partners and build local organizations' and governments' capacity to provide sustainable care and support to people living with, and impacted by, HIV.

PEPFAR's efforts to invest in local partners also directly support's USAID Localization Agenda that calls for a transition of 25% of direct funding to local partners by 2025.

RESOURCES

- [PEPFAR: FY23 Monitoring, Evaluation and Reporting](#)
- [PEPFAR: FY21 Site Improvement Through Monitoring System Guidance Material](#)
- [PEPFAR: Five-Year Strategy](#)
- [PEPFAR: Reimagining PEPFAR's Strategic Direction](#)
- [PEPFAR: Branding Guidance](#)
- [PEPFAR: 2023 Country and Regional Operational Plan \(COP/ROP\) Guidance for all PEPFAR-Supported Countries](#)

2. UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID)

USAID has led the global fight against HIV since the mid-1990s and has been a key implementing agency for PEPFAR since it was established by US President George W Bush in 2003. Through USAID’s dedicated staff around the world, host country governments, the private sector, philanthropic organizations, multilateral institutions, civil society and faith-based organizations, people living with HIV, and with the strength of our programs, we are well positioned to advance human rights, address inequality, and end HIV as a public health threat by 2030. Each department and agency that implements PEPFAR globally brings its own unique expertise to the HIV response.

USAID has made significant strides and been a leader in the following areas over the last 20 years:

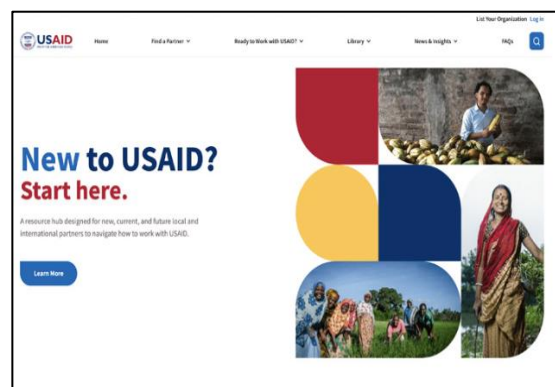
Area	Description	Links
<p>1</p> <p>Supporting Adolescent Girls and Young Women Through DREAMS</p>	<p>The DREAMS (Determined, Resilient, Empowered, AIDS-free, Mentored, and Safe) partnership aims to reduce rates of HIV among adolescent girls and young women and promotes the economic empowerment of girls and young women to prevent the spread of HIV. USAID is the lead implementer of DREAMS in both funding and geographic reach. The DREAMS program provides tailored services such as HIV and violence prevention training, education support to complete secondary school, financial literacy, links to employment, HIV prevention medication (pre-exposure prophylaxis or PrEP), and family planning services.</p>	<p>Learn more about the DREAMS program.</p>
<p>2</p> <p>Supporting Orphans and Vulnerable Children</p>	<p>USAID’s Orphans and Vulnerable Children (OVC) program contributes to ending the HIV epidemic by not only connecting children living with HIV to treatment and helping them to remain on treatment, but also by providing highly vulnerable and at-risk children and families with HIV prevention, health, and social services through community and household support. USAID and our partners provide families with tailored, comprehensive health services as well as household economic strengthening, education support, and child protection services through trusted care workers</p>	<p>Learn more about USAID’s OVC program.</p>
<p>3</p> <p>Supporting Key Populations</p>	<p>Key Populations (KP) include sex workers, gay men and other men who have sex with men, transgender people, people who inject drugs, and people in prisons and other enclosed settings. Globally, greater proportions of these populations are living with HIV due to certain risk behaviors, marginalization, and structural factors such as stigma, discrimination, violence, human rights violations, and criminalization. These barriers restrict access to and use of critical HIV services.</p>	<p>Learn more about USAID’s work to support key populations.</p>
<p>4</p> <p>Addressing Gender-Based Violence</p>	<p>Gender-based violence (GBV) refers to harmful acts directed at an individual based on their gender. Gender inequality and GBV constrain efforts to</p>	<p>Learn more about USAID’s work to</p>

		reach HIV epidemic control. Globally, 35% of women experience intimate partner violence or non-partner sexual violence in their lifetime and women who experience intimate partner violence are 1.5 times more likely to acquire HIV.	address gender-based violence.
5	Powering Sustainable Financing	<p>As many of USAID’s partner countries approach sustained epidemic control, we share a responsibility to ensure the financial sustainability of programs providing life-saving services to people living with HIV/AIDS.</p> <p>Since 2014 USAID has led the coordination and implementation of PEPFAR’s Sustainable Financing Initiative (SFI), which aims to strengthen the public financial management, advance private sector engagement, and mobilize greater resources for the HIV/AIDS response in our partner countries.</p>	Learn more about USAID’s work to power sustainable financing.
6	Strengthening the Supply Chain for Health	<p>USAID-supported supply chains have been instrumental in the U.S. Government’s support of the global HIV/AIDS response and USAID has led PEPFAR’s efforts to provide affordable HIV treatment for millions. In 2005, life-saving HIV treatment cost \$1,000 per patient per year, but today, through USAID’s supply chain work, life-saving HIV treatment costs \$50 per patient per year. From 2018-2020, USAID led the global transition to the HIV treatment regimen called TLD (Tenofovir, Lamivudine, and Dolutegravir). TLD is considered the gold standard in HIV treatment because it has fewer side effects than other HIV treatments and is proven to rapidly suppress viral load in adult and adolescent patients with HIV. TLD has been especially beneficial for children living with HIV because the treatment is just one small pill and it can be taken with or without food, making it more convenient for children to adhere to their treatment regimen. USAID and its partners have led a global transition to TLD with 15 PEPFAR-supported countries reporting that at least 80 percent of the HIV treatments issued in 2022 were TLD.</p>	Learn more about USAID’s supply chain work.
7	Research	<p>For twenty years, USAID has been a leader in the research and development of safe, effective, and affordable HIV prevention products including products that women can use to protect themselves from HIV, including Oral PrEP, injectable PrEP, new HIV prevention technologies, and a vaccine to protect against HIV. USAID is the fourth largest donor of HIV vaccine research and development.</p>	Learn more about USAID’s research and development work.

2.1 WorkingwithUSAID.gov

WorkwithUSAID.org is a free website that provides resources and information to help organizations learn about the U.S. Agency for International Development (USAID) and how they can partner with the agency:

1. Partner Directory: Allows organizations to create profiles and connect with others in the development community to explore partnerships
2. Resource Library: Offers a free repository of tools to help organizations strengthen their capacity
3. News & Insights blog: Provides guidance, tips, and inspiration for partners



The website also offers corporate partnerships that can help businesses address social, environmental, and commercial challenges. Corporate partners can also take advantage of USAID's capabilities, networks, and experience.

WorkwithUSAID.org was launched in November 2021 to help qualified entities compete for USAID funding more easily and to reduce the administrative burden of applying for partnership opportunities. In her remarks at Georgetown University, Administrator Samantha Power announced the launch of the new [WorkwithUSAID.org](https://www.workwithusaid.org) website. WorkwithUSAID.org is a globally accessible website that offers a variety of innovative services and curated tools designed to connect partners to peers and experts and help prepare them to pursue USAID funding.

Advancing diversity, equity, inclusion, and accessibility is at the heart of USAID's work, including in how we partner and with whom we partner. [WorkwithUSAID.org](https://www.workwithusaid.org) gives prospective partners a place to start, current partners a place to grow, and the Agency a place to build new partnerships.

The new [WorkwithUSAID.org](https://www.workwithusaid.org) website is part of the Agency's efforts to lower barriers so that all qualified entities can more easily and capably compete for USAID funding. A key component of the website is the [Partner Directory](https://www.workwithusaid.org/partner-directory), which allows organizations to create a profile and connect with others in the development community to explore forming prime and/or sub-partnerships in acquisition and assistance. Organizations can also take the [Pre-Engagement Assessment](https://www.workwithusaid.org/pre-engagement-assessment) to self-evaluate their readiness to compete for USAID funding. Other website features include a [library](https://www.workwithusaid.org/library), [blog](https://www.workwithusaid.org/blog), and [FAQ page](https://www.workwithusaid.org/faq) that answers the most common questions organizations ask about engaging with USAID.

The website is set up to support new partners, existing partners, and USAID staff around the world. Whether you are new to USAID or have been working with the Agency for years, there are valuable resources on [WorkwithUSAID.org](https://www.workwithusaid.org).

Resources:

Translations: By September 2024, USAID will upload policies from the Automated Directives System (ADS) and Technical Guideline which have been translated into Amharic, Chichewa, French, Hausa, Portuguese, Swahili, Hausa, and Somali. Please [WorkwithUSAID.org](https://www.workwithusaid.org) for updates

[Workwithusaid.gov](https://www.workwithusaid.org).

[Workwithusaid.gov/partner-directory](https://www.workwithusaid.org/partner-directory)

[Workwithusaid.gov/pre-engagement](https://www.workwithusaid.org/pre-engagement)

[Workwithusaid.gov/resource-library](https://www.workwithusaid.org/resource-library)

[Workwithusaid.gov/blog](https://www.workwithusaid.org/blog) (opportunities for partners to submit blog entries)

[usaid.gov/partner-with-us/get-grant-or-contract/trainings-how-work-USAID](https://www.usaid.gov/partner-with-us/get-grant-or-contract/trainings-how-work-USAID)

WorkwithUSAID Trainings



MODULE 1:
[Understanding USAID Awards](#)



MODULE 2:
[Exploring USAID Funding Opportunities](#)



MODULE 3:
[Effectively Responding to USAID Funding Opportunities](#)



MODULE 4:
[Registering to Work with USAID](#)



MODULE 5A:
[Preparing Budgets for Assistance Awards](#)



MODULE 5B:
[Preparing Budgets for Acquisition Solicitations](#)



MODULE 6:
[Preparing for the Non-U.S. Organization Pre-Award Survey \(NUPAS\)](#)



MODULE 7:
[Building Strong Sub-Partnerships](#)



MODULE 8:
[Preparing for your USAID Post Award Conference](#)



MODULE 9:
[Financial Reporting](#)



MODULE 10:
[Branding and Marking](#)



MODULE 11:
[Preparing Progress Reports](#)

MODULE 9:
[Monitoring, Evaluation, and Learning](#)



2.2 USAID LOCALIZATION

USAID is expanding the share of its programs that are locally led, in which a diverse group of local actors define priorities, design projects, drive implementation, measure and evaluate results, and more fully own and sustain efforts to save lives, reduce poverty, strengthen democratic governance, reduce corruption, address climate change, work to prevent conflicts, respond to global pandemics, and emerge from humanitarian crises. Localization principles inform all the ways USAID engages in development.

USAID defines local partners to be “locally incorporated, registered, and have a majority of local staff, including at senior levels,” so their local partners would all qualify as local entities under USAID’s current definition. They added that based on the available program assessments, local partners again “displayed quality of service comparable to international partners.” So, after struggling for years to move the needle at all, how was USAID’s HIV/AIDS team able to achieve an 81% jump in just four years? The authors cite six aspects of USAID’s emerging localization model. None of these seem to be exclusive to HIV programming, suggesting they could be widely adopted across the Global Health Bureau and the Agency.

Six key factors made it possible (click here for full report: <https://www.brookings.edu/articles/a-usaid-localization-model-finally-emerges>)

1. An ambitious goal (PEPFAR’s 70% local funding commitment) resulting in country-specific strategies that include local funding targets based on the Missions’ specific context and procurement plans.
2. Strong data systems to monitor progress toward both the direct local funding target and the program performance of the local partners.
3. Strengthening local partner organizational and financial capacity. Critically, the capacity strengthening efforts have short timelines and focus on preparing the local partners to become prime awardees, as in terminal transition awards. This may not completely align with USAID’s new Local Capacity Strengthening approach.
4. Bolstering USAID’s capacity to manage local awards. As noted in a blog last year, this point recognizes that USAID sometimes lacks the capacity in its operating systems and organizational culture to work with local organizations, and must accept responsibility for improving. In the case of USAID’s HIV programs, 98 new positions (funded by PEPFAR) were approved across 16 Missions. These included new staff in Global Health as well as Acquisition and Assistance and Financial Management. Some Missions also hired a local transition or local capacity adviser. Therefore, current requests by Missions and Bureaus for similar positions should be prioritized.
5. Changing the way USAID does business, including expedited procurement approaches and building a wider network of local partners through personal and online outreach and by convening local partner conferences.
6. USAID leadership at headquarters and within country teams made transitioning to local partners a top priority.

“If we truly want to make aid inclusive, local voices need to be at the center of everything we do”.

Administrator Samantha Power,
August 2022

2.3 UNDERSTANDING USAID POLICIES AND PROCEDURES

This section includes:

1. Register to Work with USAID
2. Understanding USAID Award Types
3. Understanding Required Compliance Provisions
4. USAID Implementation Policies

2.3.1 REGISTER TO WORK WITH USAID

DEFINITIONS

System for Award Management (SAM) and Unique Entity Identifier (UEI)

SAM is the primary supplier database for the U.S. Federal government, collecting, validating, and storing data from suppliers and then making that data available to various government acquisition agencies

Previously all local organizations had to complete a registration process with the System for Award Management (SAM) before being able to submit a proposal and work with USAID. This requirement was a barrier for many local organizations and USAID.



Now there is flexibility with the SAM.gov registration process. ***If an award is \$500,00 or less and will be performed outside of the United States then they are exempt from registering on SAM.gov.***

All other entities must register with SAM before a proposal can be submitted and before an agency-funded agreement or contract can be issued. If an organization plans to issue a contract or sub-award, those entities must also be registered in SAM.gov and have a UEI number.

To start the process, open this link: <https://sam.gov/content/entity-registration> and have the following documents in English ready to be uploaded:

1. Taxpayer Identification Number (TIN)
2. Taxpayer Name for the TIN (matching what is on IRS tax documents)
3. The legal name of your organization.
4. Physical address.
5. EIN Number.
6. Bank routing number, account number, and account type to enable Electronic Funds Transfer (EFT).

All the documents must be translated into English. In November 2023, USAID created a Translation Program which is intended for missions to use. However, there has been successful use of translation services to translate documents into English to obtain a UEI. Local organizations should approach the Health Office or Office of Acquisition and Assistance and direct them to the [translation request form](#) to complete your request for translations.

Once the SAM registration has been completed, the government assigns the entity a Commercial and Government Entities Code, (CAGE Code), and a Unique Entity Identifier (UEI) number.

The Unique Entity ID is a 12-character alphanumeric ID assigned to an entity by SAM.gov. Entity registration, searching, and data entry in SAM.gov now require the use of the new Unique Entity ID. New entities can get their Unique Entity ID at SAM.gov and, if required, complete an entity registration.

TRAINING

- [SAM.gov: Get Started with Registration and the Unique Entity ID](#)
- [WorkwithUSAID: Registering to Work with USAID](#)

RESOURCES

- [Sam.gov](#)
- [SAM.Gov: Prepare for Entity Registration in SAM.gov](#)
- [SAM.gov: Log in for System for Award Management \(SAM\)](#)
- [SAM.gov: What are SAM registration requirements?](#)

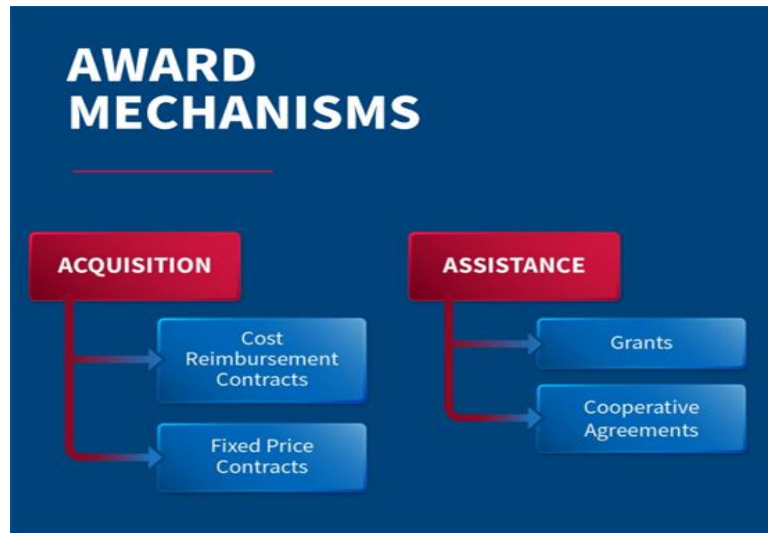
- [SAM.gov: Subawardees and the Unique Entity Identifier \(https://www.gsa.gov/system/files/To_Publish_-_FAQs_from_Unique_Entity_ID_Forum.pdf\)](https://www.gsa.gov/system/files/To_Publish_-_FAQs_from_Unique_Entity_ID_Forum.pdf)
- [USAID.gov: System for Award Management \(SAM\)](#)
- [WorkwithUSAID: Registering to Work with USAID: Step-by-Step Guide](#)
- [WorkwithUSAID: Quick Reference for Registering to work with USAID Non-U.S. Partners](#)

2.3.2 UNDERSTANDING USAID AWARD TYPES

DEFINITIONS

Acquisition Awards: USAID acquisition awards are contracts that the US government uses to **buy goods and services from a contractor** to implement an activity. USAID states the goods, services, or results it wants to buy, monitors the contractor's performance, and provides technical direction during contract implementation

Assistance Awards: The U.S. Agency for International Development (USAID) provides financial support to recipients to accomplish a public purpose, in the form of grants and cooperative agreements. USAID awards contracts, grants, and cooperative agreements competitively



POLICIES

- [USAID.GOV: Quick Reference Understanding USAID Awards](#)
- [USAID.GOV: Infographic Types of Assistance Instruments](#)
- [USAID.GOV Fixed Amount Award Template](#)

2 CFR 200.333 increased the threshold for fixed-amount subawards. The revisions increase the ceiling for fixed-amount subawards from \$250,000 to \$500,000 Many organizations begin working on USAID programming through subawards, and fixed-amount subawards, in particular, are often utilized for new local partners, as they are simpler both for oversight and for compliance.

TRAINING

- [WorkwithUSAID: Types of USAID Awards: Acquisition and Assistance Awards](#)

2.3.3 UNDERSTANDING REQUIRED COMPLIANCE PROVISIONS

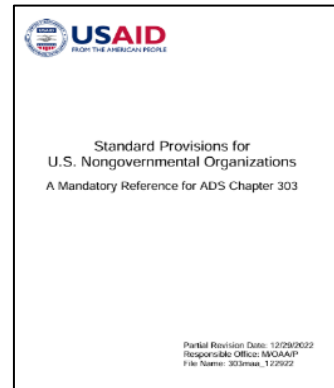
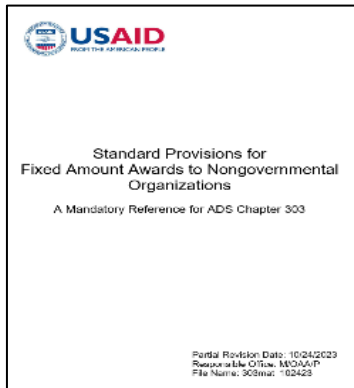
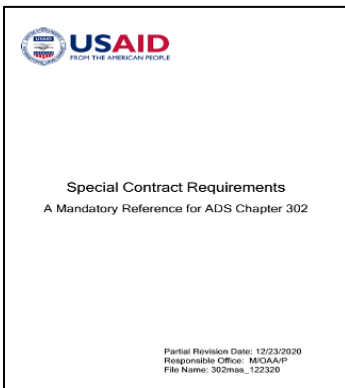
POLICIES

- [Code of Federal Regulations](#)

The Code of Federal Regulations, also known as the 2 CFR 200, is the primary regulation governing grants and cooperative agreements issued by the US Government. The above standards.



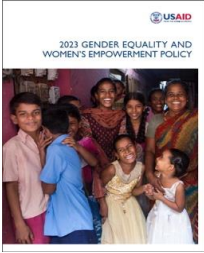
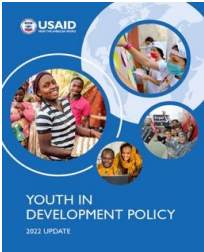

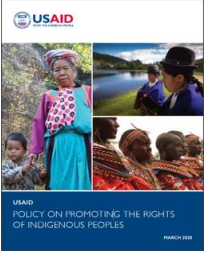
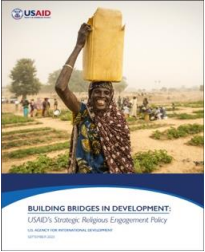

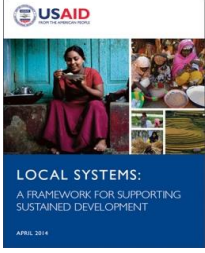
- [Standard Provisions for Fixed Amount Awards to NGOs](#)
- [USAID Mandatory Standard Provisions for Non-U.S. Organizations](#)

■ [USAID.GOV Special Contract Requirements](#)



2.3.4 USAID IMPLEMENTATION POLICY DOCUMENTS

USAID POLICY DOCUMENTS

<p><u>USAID Anti-Corruption Policy</u></p>  <p><u>USAID Graphic Standards and Partner Co-Branding</u></p>  <p><u>2023 USAID Gender Equality and Women's Empowerment</u></p>  <p><u>2022 Youth in Development Policy</u></p>  <p><u>2023 LGBTQI+ Inclusive Development</u></p> 	<p><u>2020 USAID Policy on Promoting the Rights of Indigenous Peoples</u></p>  <p><u>Building Bridges in Development USAID's Strategic Religious Engagement</u></p>  <p><u>USAID Guidance on Child Safeguarding for Implementing Partners</u></p>  <div style="border: 1px solid black; padding: 10px; text-align: center; margin: 10px 0;"> <p>This Policy is under revision (April 18, 2024)</p> </div> <p><u>DRAFT 7: Nothing Without Us: USAID Disability Policy</u></p> <p><u>Inclusive Development – Additional Help for ADS 201</u></p> 
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2.4 USAID PROPOSAL WRITING

TRANSLATIONS

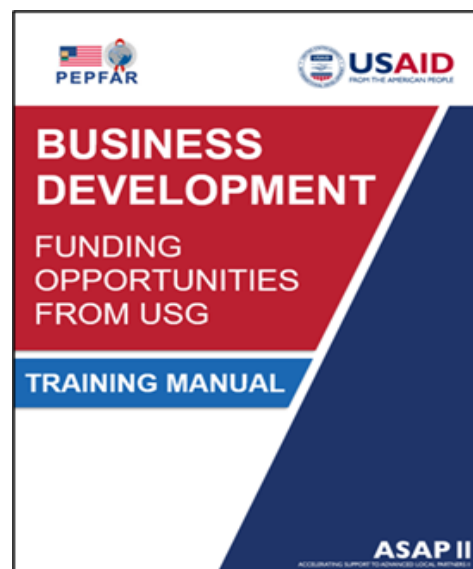
Under the revised 2 CFR 200 guidance, USAID is permitted to translate Notices of Funding Opportunities (NOFOs) and award documents into non-English languages and to receive applications, reports, and other award documentation in languages other than English (2 CFR 200.111). Previous language requirements presented challenges for partner organizations without English language capabilities, such as the added cost and time required for translation.

TRAINING

- [ASAP II Business Development, Funding Opportunities from USG Training Manual](#)

This manual serves as a guide to help local implementing partners identify their capacity development needs and support them with technical and organizational capacity development, business development (BD), and resource mobilization, and understand successful solicitation of funding opportunities through the proposal development process from pre-solicitation to post-submission, not only to achieve operational sustainability but also to become capable of implementing strong projects that address international development challenges.

- [ASAP II Business Development, Funding Opportunities from USG Presentation Slides](#)
- [WorkwithUSAID: Exploring USAID Funding Opportunities](#)
- [WorkwithUSAID: Effectively Responding to USAID Funding Opportunities](#)



WEBINARS

- [Business Development: Pre-RFA to Post Submission Best Practices](#)
- [Développement des affaires \(Business Développement\) Meilleures pratiques \(French\)](#)

RESOURCES

- [USAID: Business Forecast](#)

The Business Forecast provides information about potential funding and partnership opportunities at USAID and offers partners the opportunity to engage with us early in the procurement process. The Business Forecast is issued while activities are still in the planning phase, so the information in it may change over time. Sign up [here](#) to receive email notifications.

- [NGO Connect: Connecting with Prospective Partners and Funders](#)

3. PRE-AWARD SURVEYS FOR NON-US ORGANIZATIONS

DEFINITIONS:

Non-US Organization Pre-Award Survey (NUPAS)

The Agreement Officer (AO) is the person with the authority to (1) enter into, administer, terminate, and close out assistance agreements, and (2) make related determinations and findings on behalf of USAID.

USAID's NUPAS approved 2023

Prior to making a USAID Prime award, USAID must evaluate the risks posed by the local organization. The overall pre-award risk assessment, including any pre-award survey, is not intended to be used as a deciding factor in selecting the appropriate acquisition or assistance (A&A) instrument or determining the type of assistance instrument, as the appropriate instrument is determined as part of the award design process (see ADS 304). If the AO determines a pre-award survey is necessary for a

non-U.S. non-governmental organization (NGO) then a survey must be conducted using either the Non-U.S. PreAward Survey (NUPAS) or a similar detailed analysis in accordance with locally established or award-specific criteria that achieves the same objectives as the NUPAS. The survey conclusions may highlight areas of the organization's ability to comply with agency and federal requirements that may need to be strengthened or may pose a risk to the issuance of an award. In conducting the survey, the Survey Team should consider the effort made by the organization in developing an application, preparing for the survey and site visit, and committing to risk mitigation measures.

The objective of the NUPAS is first and foremost a tool to assist USAID in assessing the risk of issuing an award to a non-U.S. NGO.

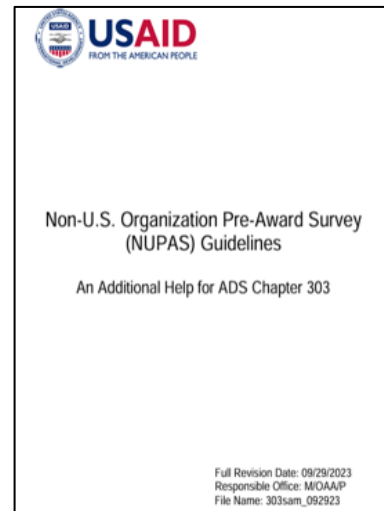
1. To determine whether the organization has sufficient financial capacity and managerial capability to manage USAID funds, in accordance with U.S. Government (USG) and USAID requirements, to achieve the intended objectives of the activity;
2. To assess the organization's internal control systems and identify areas that may require strengthening and improvement to effectively implement activities; and
3. To determine the degree of support and oversight necessary to ensure proper accountability of funds provided to the organization.

The NUPAS results will help the AO determine whether the organization's financial management and internal control systems are adequate to manage, control, account for, and report on the uses of potential USAID funds, thus protecting the USG's interests. Additionally, the survey results will inform USAID on the appropriate method of financing to use under the potential assistance award.

The Survey Team conducting the NUPAS will identify areas of risk and can recommend risk mitigation measures for consideration by the AO. For organizations that have previously received a USAID award, AOs can refer to a previously completed NUPAS or Agency-facilitated pre-award survey results when awarding another new award to the same organization. The NUPAS is not meant to result in a "pass/fail" conclusion but rather should be used as a tool to inform the AO and other staff responsible for award oversight of areas of risk for USAID Agency and corresponding mitigation measures. However, there are certain mandatory requirements that may prevent or delay the issuance of an award.

POLICIES

- [USAID: Non-U.S. Organization Pre-Award Survey Guidelines, and Support](#)
- [USAID: Non-U.S. Pre-Award Survey Tool](#)
- [USAID: Certifications, Assurances, Representations, and Other Statements of the Recipient](#)



ASAP II NUPAS PLUS 2.1

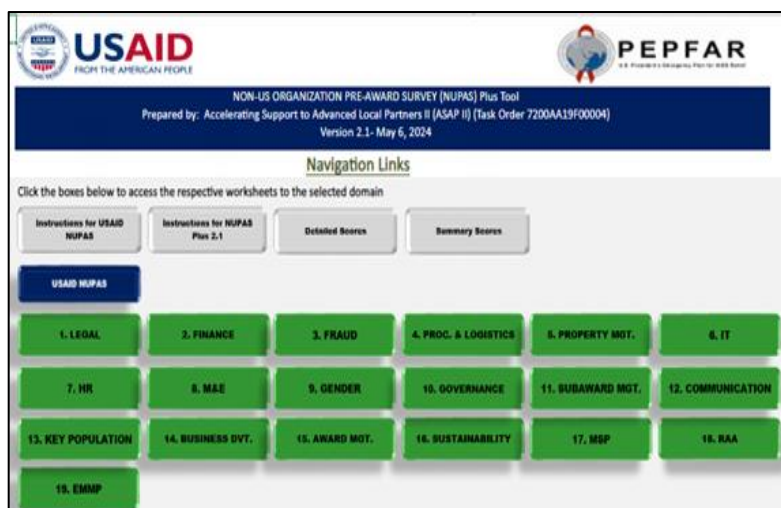
USAID is authorized to delegate the responsibility of conducting the NUPAS to a contractor. In 2019, USAID requested ASAP to develop the NUPAS Plus to supplement the NUPAS with more domains and criteria to identify the root causes of deficiencies and significant weaknesses. The NUPAS Plus tool was reviewed and validated by a technical working group with members from 15 international non-profit organizations with experience in the specific domains.

In 2024 and based on experience of 80 NUPAS assessments and 67 NUPAS Plus assessments, ASAP II updated the tool to create NUPAS Plus 2.1. The NUPAS Plus 2.1 has the following objectives:

1. Determine whether the Non-U.S. Organization has sufficient financial and managerial capacity to manage USAID funds following U.S. Government and USAID requirements.
2. Provide recommendations to USAID on areas of support needed for the local partner to succeed as a prime recipient with increased funding.
3. Provide baseline data for self and external reassessments.

The NUPAS Plus 2.1 includes the following domains:

1. Legal
2. Finance
4. Risk Management
5. Procurement
4. Property Management
6. Information Technology
7. Human Resources
8. Monitoring and Evaluation
9. Gender and Social Inclusion
10. Governance
11. Subaward Management
12. Communications
13. Key Population (KP)
14. Business Development
15. Award Management
16. Sustainability
17. Mandatory Standard Provisions
18. Required as Applicable Provisions
19. Environmental Mitigation and Monitoring



NUPAS	NUPAS PLUS	NUPAS PLUS 2.0
<ul style="list-style-type: none"> Legal Financial Management Internal Controls Procurement Human Resources Project Management Organizational Sustainability 	All NUPAS Domains and: <ul style="list-style-type: none"> Legal Financial Controls Fraud Procurement Property Management Human Resources Information Technology Monitoring and Evaluation Mandatory Standard Provisions Required as Applicable Provisions Environmental Mitigation 	All NUPAS Plus Domains and: <ul style="list-style-type: none"> Award Management Subaward Management Business Development Sustainability Key Populations Communications
6 Domains and 28 questions		NUPAS Plus 2.1 <ul style="list-style-type: none"> Included USAID's updated version of the NUPAS (9/2023) 9 domains and 60 questions

In the NUPAS Plus 2.1, under the tab “Instructions for NUPAS Plus 2.” there is a list of required documents for each domain. As an example, the documents required for Legal, Finance, and Fraud are as follows:

STEPS FOR EXTERNAL ASSESSORS TO CONDUCT THE NUPAS PLUS 2.1	
1	Review the tool to familiarize yourself with all the domains and categories
2	Send the NUPAS Plus 2.0 tool to the organization so they can familiarize themselves with the assessment questions
3	Send a list of required documents to the local organization two weeks before starting the assessment
4	All assessors sign non-disclosure agreements (NDA) and send them to USAID mission and local organization
5	Create a Dropbox or other file for the local organization to store all the required documents
6	Conduct a desk review of the documents and score all applicable categories
7	Schedule a site visit (or virtual) to a local organization with USAID Mission
8	Hold an initial briefing with USAID without the local organization present
9	Hold an introductory meeting with the senior leadership of the organization, with USAID present
10	Have a discussion on the terms to be included in the Memorandum of Understanding (MOU) to state the expectations and roles of each party
11	Senior officials sign the MOU between assessors and the organization
12	Schedule staff interviews
13	Record all scores in the NUPAS Plus 2.0 tool and add comments
Note	All assertions should be analyzed and scored with adequate remarks justifying the score given. If an assertion/assessment area is not applicable, please indicate N/A in column 1 “Comments for Report” and provide justification as to why it is not applicable. The overall rating represents the best judgments of those making the assessment after all evidence has been considered.
Note	Upon concluding that an assertion is not applicable, please adjust the formula to eliminate the rating from the average section rating. Otherwise, the average rating will be understated.
15	Hold a ground truthing meeting with local organizations, review scores, and provide an opportunity to clarify any matters they may disagree with. This step can lead to changing scores when additional information is provided
16	Prepare report
17	Submit the report within two weeks of the assessment
18	Schedule a time to reassess the organization and repeat the NUPAS Plus 2.0

EXAMPLE DOCUMENTS REQUIRED FOR NUPAS PLUS 2.1

1: Legal

1	Organization's Registration Documents (e.g. Deeds of Trust, NPO Registration Certificate)
2	Board and Subcommittee Charter(s) / Constitution
3	Board members' declaration of interest
4	Environmental compliance certificate (as applicable)
5	Annual report (for the latest financial year)
6	Internal audit charter and plan (where applicable)
7	Current Organizational Organogram
8	Minutes of board and subcommittee meetings for the previous 12 months (all divisions)
9	Corporate Calendar for the previous 12 months
10	Current Organizational Strategic Plan
11	Board and key management succession plan
2	List of banking accounts held with commercial banks (including proof of registration of each account)
3	Bank statements for the past 6 months

EXAMPLE OF ONE QUESTION DEPICTING THE CRITERIA NEEDED FOR THE DIFFERENT SCORES:

NUPAS Plus 2.1: Finance		1 - High Risk	2 - Moderate to High Risk	3 - Low to Moderate Risk	4 - Low Risk	BASELINE SCORE	REASSESSMENT 1
#	CATEGORY	PROCEDURE					
BUDGET							
2.1	Annual Budget	Documented budgeting and budgetary process	The organization does not have annual budget	Annual organizational budgets are prepared but not on time	Annual organizational budgets are prepared on time but not reviewed and approved	Annual organizational budgets are prepared, reviewed and approved on time	
	Staff Involvement	Either based on the documented business process or inquiries with management	The organization does not have annual budget	Finance and program staff are not involved in preparing the budget.	Either finance or program staff are involved in preparing the budget but not both	Both finance and program staff are involved in preparing the budget.	
	Planned Activities	Annual Budget(s)	The organization does not have annual budget	Project activities are not based on the costs of the planned activities.	Project activities are sometimes based on the costs of the planned activities.	Project activities are always based on the costs of the planned activities.	
	Budget Notes	Annual Budget(s)	The organization does not have annual budget	Budgets does not include budget notes and clear calculations.	Budgets include budget notes but lack clear calculations.	Budgets include budget notes and clear calculations.	

SCORING METHODOLOGY

Score (use increments of .25)	Scale	Description
1.0 – 1.5	Inadequate	Significant control weaknesses could expose the organization to significant financial or other losses or otherwise significantly impair its ability to manage USAID funds
1.55 – 2.5	Weak	Significant control weaknesses exist that could expose the organization to unacceptable/inadequate levels of unmanaged risk.
2.51 – 3.5	Adequate	Although a control weakness was noted, compensating controls and other factors exist to reduce the residual risk within the organization to acceptable levels
3.51-4.0	Strong	Overall, a strong control framework is in place. Some improvements may be recommended. (No deficiencies or low risk)

EXAMPLE OF SUMMARY SCORES

No	DOMAINS	AVERAGE SCORE
1.	Legal	3.15
2.	Financial Management & Internal Controls	3.10
3.	Procurement and Logistics	2.65
4.	Human Resources	3.30
5.	Performance Management	4.00
6.	Fraud	1.44
7.	Property Management	2.75
8.	Information Technology	3.80
9.	Monitoring and Evaluation	3.88
10.	Gender (Equality and Social Inclusion)	3.09
11.	Governance	2.83
12.	Business Development	3.17
13.	Sustainability	3.45
14.	Mandatory Standard Provisions	N/A
15.	Required as Applicable Provisions	N/A

16.	Environmental Mitigation and Monitoring	N/A
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EXAMPLE OF AREAS IN NEED OF IMPROVEMENT

Example NGO		RATING
Legal Structure & Governance		
1.	Board Constitution Not in Place	
2.	Annual Declaration of Conflict of Interest not Signed (Board Members)	
3.	Process of Newly Elected Board Members Not Documented	
4.	Continuation of Term of Office Not Specified	
5.	Board Meetings Not Documented	
6.	Terms of Reference Silent on Quorum Requirements	
7.	Code of Conduct Silent on Procedure for Removal of Board Members	
8.	Vision and Mission Not Stated in Strategic IT Plan	
9.	Delegations of Authority Not Fully Developed	
10.	Code of Conduct Not Formalized	
11.	UCS Organogram Incomplete/Not approved	
12.	Board Self-Evaluations Not Documented	
Financial & Internal Control Systems		
1.	Outdated Finance Manual	
2.	Lack of an Audit Trail for the Approval of the Annual Budget	
3.	Monthly Petty Cash Reconciliations Not Prepared for All Accounts	
4.	Budget Notes Not Prepared	
5.	Use of Spreadsheets for Accounting purposes	
6.	Monthly Financial Management Reports Not Prepared	
7.	Document Retention Register Not in Place	
8.	No Cheque Register	
9.	General Ledger Entries Lacking References	
Procurement & Logistics Management		

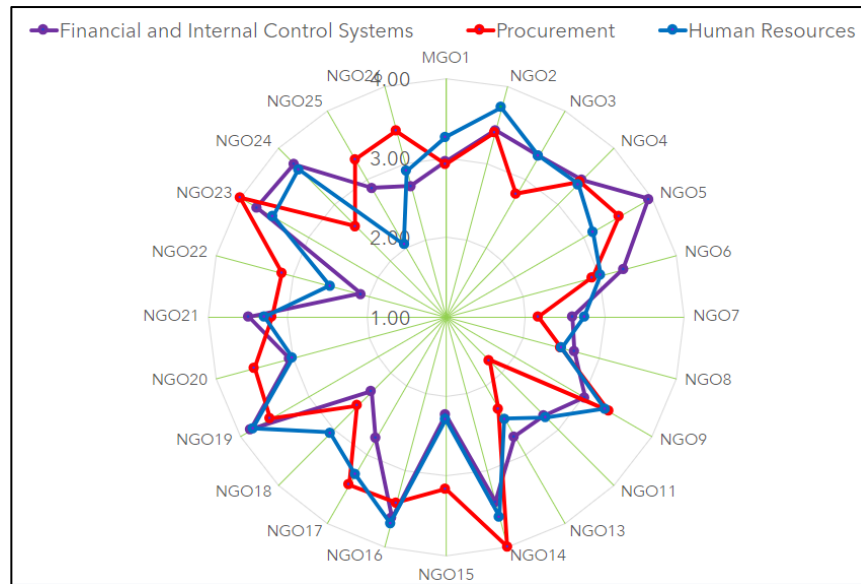
1.	Procurement Policy Silent on Important Matters	
2.	Declarations of Conflict of Interest Not Signed by Those Involved in Procurement	
3.	Reasonability of Existing Contractual Charges Not Verified	
4.	Stated Purpose on Certain Advance Requests Unclear	
Human Resources		
1.	Monthly Payroll Reconciliations	
2.	Inadequate Travel Management Procedures	
3.	No Salary Scales in Place	
4.	SAM Checks for New Staff Members	
5.	No Signed Performance Agreements	
6.	No Annual Performance Reviews /Appraisals	
Sustainability		
1.	Change Management Not addressed in the Strategic IT Plan	
2.	Finance Manual Silent on Cash Flow Management	
3.	SWOT Analysis Not Performed	
4.	Website Not Maintained	
Fraud Management		
1.	No Fraud Management and Whistleblowing Policy/Procedure in Place	
2.	UCS Global Does Not Have a Risk Register	
3.	No Compliance Procedures to Ensure Compliance with Applicable Laws and Regulations	
Property Management		
1.	No Monthly Asset Verifications per FMAM Requirements	
2.	Incomplete FAR	
Information Technology		
1.	IT Manual Not in Place	
2.	Cybersecurity Not in Place	

3.	Strategic IT Plan Not Broken-down to an Annual IT plan	
Monitoring, Evaluation & Learning		
1.	No M&E Training Curriculum	
2.	Insufficient Number of M&E staff	
3.	No Financial Resources Allocated to M&E activities	
4.	Delay in Implementation of Work Plan Activity	
5.	No Corroborative Evidence for Supportive Supervision	
6.	Infrequent Training of Staff on Data Quality Assessment	
Gender (Equity and Social Inclusion)		
1.	No Gender Integration Training for Staff	
2.	No Budget for Gender Activities	
3.	No Gender Focal Point	
4.	No Strategic Plan for Gender Equality or Women Empowerment	
5.	No Gender Parity in Top Leadership Positions	
Business Development		
1.	No Formal/Written Resource Mobilization Strategy/Plan	
Mandatory Standard & Required as Applicable Provisions		

Lessons Learned

1. Each organization has unique challenges and NUPAS Plus assessments identify the unique challenges of each organization.
2. Even in high-scoring domains, there are individual high-risk areas that need capacity strengthening.

Example of Spider Graph depicting how 26 organizations have unique challenges



To assess organizational development growth and capacity strengthening it is important to periodically reassess (six to 12 months) to compare scores, as be the example below:



“We also want to believe we have built our capacity because many of our staff went through the assessment and have been able to see how a capacity building plan from an assessment and what types of small or higher level support can be given to a partner. I think that this is capacity that we can pass on to our subs.

Moses Mumba, CEO Multi Community Based Development Initiative (MUCOBADI) Uganda

TOOLS

- [ASAP II: NUPAS Plus 2.1 Tool](#)

It is an Excel spreadsheet tool for organizational self-assessment and external assessment of risk and capacity.

RESOURCES

- [ASAP II NUPAS Plus Brief](#)

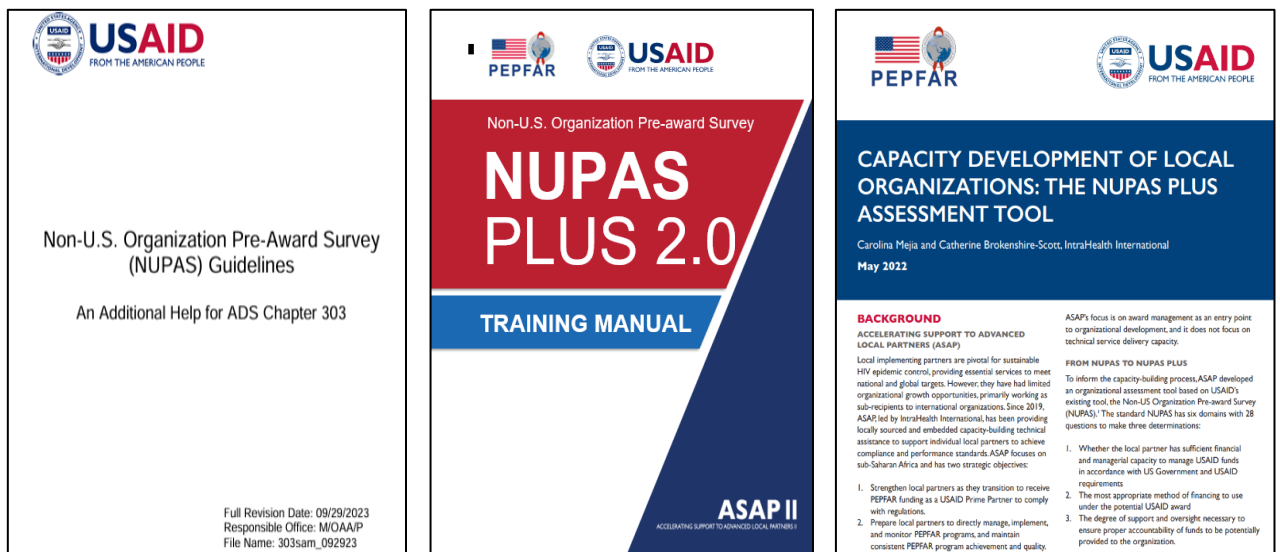
WEBINARS

- [ASAP II: NUPAS Plus 2.1 Training Webinar](#)

In this webinar, the ASAP II Team goes through the NUPAS Plus 2.1 tool used to assess organizational capacity. The webinar covers the usage of the tool, implementation, and additional resources available to local partners.

- [ASAP II: NUPAS Plus 2.0 Training Webinar](#)

In this webinar, the ASAP II Team goes through the NUPAS Plus 2.0 tool used to assess organizational capacity. The webinar covers the usage of the tool, implementation, and additional resources available to local partners.



4. CAPACITY DEVELOPMENT PLANS

The purpose of the NUPAS Plus 2.1 is to identify areas of risk and areas for capacity strengthening. When the NUPAS Plus 2.1 report is completed, the next step is to co-develop a Capacity Development Plan (CDP) with the local organization. First, the scores from the NUPAS Plus 2.1 are transferred into the CDP in the section for baseline data. As developing a CDP is a joint process with the local organization; a workshop setting is preferable but if that is not possible then separate meetings with the different departments can also work. The scores should be reviewed as well as the “Capacity Standards” listed further down in this document as these are the expected compliance standards of local organizations and can become “Key Activities”

ASAP II CAPACITY DEVELOPMENT PLAN						
ORGANIZATON NAME						
DATE OF UPDATE						
DOMAIN AND CRITERIA	BASELINE SCORE	REASSESSMENT 1	REASSESSMENT 2	KEY ACTIVITIES	SUB ACTIVITIES	EXPECTED RESULTS
	Date:	Date:	Date:			
SPECIAL AWARD CONDITIONS						
1						
2						
3						
Average Score	-	-	-			
. Finance						
Annual Budget						
Cost Allocation						
Documentation						

For example, if an organization scored a 2 for the criteria on Annual Budgets, then they can review the capacity standard on page 29 “The local partner has an annual budget and can confirm if the annual budget is prepared on time. Both finance and program staff are involved in preparing the budget, project activities are based on costs of planned activities, budgets include budget notes and clear calculations, separate budgets are prepared for each donor and project, organizational annual budgets are reviewed and approved by the board of trustees, a named individual (budget manager) is responsible for implementing and managing each budget, and all planned operational costs are adequately funded”. Based on these capacity standards, activities can be identified and entered under “Key Activities”, “Sub Activities” and “Key Results”

The CDP also has additional columns for who is responsible, tools used or developed; a Gantt chart, updates, and related indicators.

ORGANIZATIONAL LEAD	CAPACITY ADVISOR	TOOL USED OR DEVELOPED	START DATE	END DATE	ADD COLUMNS FOR MONTH OR QUARTERS	ORGANIZATION UPDATE	CAPACITY ADVISOR UPDATES	ASAP II INDICATOR

RESOURCES:

1. [ASAP II: Capacity Development Plan](#)

5. NGO GOVERNANCE AND LEADERSHIP

TRAINING

- [ASAP II: Leadership and Governance Training Manual](#)

This manual is designed to meet five specific learning objectives:

1. Enhance the capacity of the board and management
2. Refresh knowledge of board governance
3. Highlight board mandate and good governance systems
4. Effective leadership and governance (L&G) principles tools
5. Improve board capacity

- [ASAP II: Leadership and Governance Presentation Slides](#)

WEBINARS

- [ASAP II: Board Leadership and Governance Training Manual Webinar Part 1](#)

- [ASAP II: Board Leadership and Governance Training Manual Webinar Part 2](#)

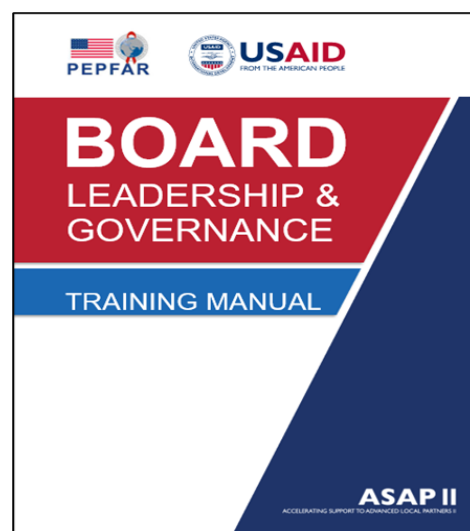
This webinar takes participants/trainers through the key elements of governance and focuses on skills development in highly effective governance ownership and board membership. It particularly deepens the staff's understanding of the board's role, strategy, risk, and performance management and will add value to the growth, reputation, and sustainability of your organization.

- [ASAP II: Leadership et governance](#)

Leadership et gouvernance: Renforcement de la gestion du conseil d'administration des partenaires locaux.

TEMPLATES

1. [ASAP II Board Evaluation Tool](#)
2. [ASAP II Sample Board Minutes](#)
3. [ASAP II Induction of Board Members](#)
4. [ASAP II Board Succession Planning](#)
5. [ASAP II Board Secretary Job Description](#)
6. [ASAP II Deputy Executive Director Job Description](#)
7. [ASAP II Board Terms of References](#)
8. [ASAP II Board Member Job Description](#)
9. [ASAP II Board Secretary Job Description](#)
10. [ASAP II Sample letter of appointment for Board Member](#)
11. [ASAP II Board Skills Matrix-Example 1](#)
12. [ASAP II Board Skills Matrix Guidelines-Example 2](#)
13. [ASAP II Board Skills Matrix-Example 3](#)
14. [ASAP II Board Skills Matrix-Example 4](#)
15. [ASAP II Board Subcommittee](#)
16. [ASAP II Board Subcommittee Guidance](#)
17. [ASAP II Board Subcommittees](#)
18. [ASAP II Code of Conduct for Directors](#)



19. [ASAP II Annual Conflict of Interest Statement](#)
20. [ASAP II COI Disclosure Statement](#)
21. [ASAP II Conflict of Interest Policy and Declaration Form](#)
22. [ASAP II Approval Authority Matrix](#)
23. [ASAP II Authorization Matrix](#)
24. [ASAP II Board DOA policy-Template 1](#)
25. [ASAP II Board DOA policy-Template 2](#)
26. [ASAP II Board DOA Policy- Template 3](#)
27. [ASAP II Governance Maturity Model](#)
28. [ASAP II Performance Evaluation - Board Chair](#)
29. [ASAP II Performance Evaluation - CEO or Executive Director](#)
30. [ASAP II Pre Strategic Planning Questionnaire for Organizational Sustainability](#)
31. [ASAP II Performance Evaluation - Individual Member](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. There is a governance structure that is in full compliance with local laws and has been for the past three years and all board members and officers are elected for a specified period and removed in accordance with applicable laws. Approved written procedures, the board and chairperson meet according to schedule. The chairperson of the board schedules meetings, sets agenda, and leads discussions.
2. Board membership rules specify eligibility and suspensions; expulsions were upheld for the past three years, board members have clear roles and responsibilities that include: knowing and supporting the mission of the organization, attending board meetings regularly, preparing for meetings in advance, maintaining confidentiality, offering informed and impartial guidance to the organization, avoiding conflicts of interest, fulfilling the duties of the office (e.g., treasurer), participating in committees and special events, supporting the board director, taking part in resource development, representing the local partner externally, and ensuring that all board members have fulfilled roles for the past three years.
3. Board members have signed Conflict of Interest forms.
4. The board has approved the Delegation of Authority.
5. The board has had a minimum number of meetings per year, as specified in the terms of reference (TOR) or by-laws for the last three years; minutes of the previous meeting are confirmed, matters arising are reviewed, programmatic progress, financial management, human resources, internal controls, and external controls are discussed.
6. Board meeting minutes are documented in the regulated period and cover discussions, include action items, and have been approved by all board members for the past three years. The board has procedures for decision-making, including numbers needed for a quorum, how to vote, and decision recording, and has consistently applied the required rules for the past three years.
7. The board oversees fiduciary risk controls for board members, officers, and employees; effective mechanisms for enforcement of such policies and controls applied for the past three years.
8. The board conducts a structured annual self-assessment to identify governance gaps and to 1) set measurable objectives for improving governance that foster enhancement of the organization's services, 2) gather information to assess effectiveness in improving organizational performance, 3) develop and implement an improvement plan, and 4) evaluate performance to support sustained improvement. The board has completed self-assessment for the past three years.

9. There is a board charter that includes: board appointment and constitution, board processes, board tenure, board functions, and board committees, as well as the roles of CEO, chairperson, and board members as part of the code of good governance.
10. There are current, updated, and signed board terms of reference and/or constitution, and a board-approved organogram.
11. The board provides oversight and participates in the appointment and evaluation of the CEO, development of the strategic plan, approval of budgets, resource mobilization, stakeholder management, and fiduciary risk management.
12. The board addresses leadership and management needs as the local partner grows and adapts to a direct recipient's partner. The board holds meetings and has supporting documentation as per the constitution/charter.
13. There is a self-assessment process for the board which is used to make improvements.
14. There are change management policies and procedures that include processes or structures for responding to changes in leadership, staffing, budgets, government policies, and donor funding levels and priorities.
15. There is an option for the board to use appreciative inquiry to manage and monitor growth.

6. FINANCIAL MANAGEMENT AND COMPLIANCE

POLICIES

- [USG: Code of Federal Regulations \(CFR\)](#)

The Code of Federal Regulations, also known as the 2 CFR 200, is the primary regulation governing grants and cooperative agreements issued by the US Government.

- [USG: CFR Cost Principles](#)

The CFR section covers uniform administrative requirements, cost principles, and audit requirements for federal awards.

- [USAID: Mandatory Standard Provisions for Non-U.S. Organizations](#)

The USAID Mandatory Standard Provisions include all the relevant regulations from the 2 CFR 200 for non-US organizations, including allowable costs, audits, and records.

- [USAID: Audit Guidelines for Foreign Organizations](#)

2 CFR 200.501 increased the single audit and program audit threshold from \$750,000 to \$1,000,000. This change will ease the administrative burden on all USAID partners, but especially on new or inexperienced partners that may not have the sophisticated financial systems or personnel necessary to support an audit each year.

TRAINING MATERIAL

- [USAID Quick Reference for Preparing Budgets for Assistance awards](#)
- [WorkwithUSAID: Preparing Budgets for USAID Assistance Awards](#)
- [NGO Connect: Sharing Costs Across Projects versus Shared Indirect Project Costs](#)
- [NGO Connect: Requesting USG Funds Using the SF-270 \)](#)
- [NGO Connect: Pipeline Versus Burn rates \(NGOConnect.net\)](#)
- [NGO Connect: Best Practice Guide for Indirect Costs](#)
- [NGO Connect: Understanding Fluctuating Exchange Rates](#)
- [NGO Connect: Foreign Tax \(VAT\) Reporting](#)

WEBINARS

- [USAID: Vouchers, Liquidations, Cash Advances, and Burn Rates](#)

- [USAID: Budgets and Update on COVID-19](#)

TEMPLATES

1. [NGO Connect: Financial and Accounting Procedures Manual](#)
2. [ASAP II Anti Money Laundering Policy](#)
3. [ASAP II Whistleblower Protection Policy](#)
4. [ASAP II Audit Findings Tracker](#)
5. [ASAP II Policy on Confidential Information](#)
6. [ASAP II Audit Terms of Reference Template](#)
7. [ASAP II Sample Budgets](#)
8. [ASAP II Budget Variance Analysis](#)
9. [APSA II Budget Variance Analysis with Dashboard](#)
10. [ASAP II Subaward Financial Compliance Checklist](#)
11. [ASAP II Cost Allocation Calculator](#)
12. [ASAP II Cost Share Policy](#)
13. [ASAP II Fraud Policy Certification Form](#)
14. [ASAP II Monthly Financials Review Checklist](#)
15. [ASAP II Petty Cash Reconciliation Template](#)
16. [ASAP II VAT Reporting Form](#)
17. [ASAP II Payment Voucher template](#)
18. [ASAP II Receivable Voucher Template](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. The local partner has an annual budget, and where there is a capacity-strengthening TA provider, they confirm if the annual budget is prepared on time. Both finance and program staff are involved in preparing the budget, project activities are based on costs of planned activities, budgets include budget notes and clear calculations, separate budgets are prepared for each donor and project, organizational annual budgets are reviewed and approved by the board of trustees, a named individual (budget manager) is responsible for implementing and managing each budget, and all planned operational costs are adequately funded.
2. There is a cost allocation policy, which outlines the basis of the allocation of shared costs and includes an approved negotiated indirect cost rate agreement of 15% de minimis, supported by the issuing agency's letter of approval.
3. Checks or wire transfers are authorized/signed by at least two authorized signatories, all cash received is banked intact, and there is a written policy detailing who can authorize expenditures of different types or values. All cash or checks received are recorded on pre-numbered receipts, all payments and receipts are recorded in cashbooks (date, description, amount), every entry into the cashbook is cross-referenced to a supporting document, and all cash books are updated.
4. All expense claims for staff advances are checked against the advance amount and reconciled, there is documentation showing that advances were received by the appropriate staff, all expense claims against staff advances are checked against the amount advanced and reconciled, and there is documentation proving the advances were received by the appropriate staff.
5. There is supporting documentation for petty cash disbursements that includes a payee; cash is kept safely in a locked cashbox or safe in the custody of one individual; a physical petty cash count is performed regularly

(weekly/monthly) and is checked by a senior staff member and documented; petty cash reconciliation is done at least every month; all disbursements are made within the predetermined maximum amount for petty cash disbursements; and supporting documentation for disbursements contain the description and date of disbursement.

6. There is/are bank account(s) in a registered commercial banking institution appropriate for the local partners' mission and/or goals. They are accurately reconciled monthly; documentation shows the dates that the monthly bank reconciliations were prepared and who prepared, reviewed, and approved them, with corresponding signatures affixed. A bank account specifically dedicated to the intended project is opened within the first month of engaging with them. There are requirements covering regular bank reconciliations that ensure appropriate action is taken on any item outstanding longer than 60 days.
7. There is a reliable double-entry accounting/bookkeeping system that meets the local partner's needs, is appropriate, financial transactions are entered into the system daily, and the bookkeeping system has functionalities to reconcile the subsidiary ledger to the main ledger.
8. There is a chart of accounts and a corresponding general ledger that meet the local partner's needs; the numbering system used in the general ledger follows country statutory requirements (if any) without exception; and all financial transactions are recorded regularly and consistently in accordance with approved and otherwise appropriate accounting standards, principles, and practices. Financial statements are consistently derived from the general ledger (trial balance), and financial statements are prepared in accordance with applicable national and international accounting standards.
9. Appropriate financial reports are accompanied by budget data and variance analysis (budget to actual cost) reports, and program managers consistently review financial reports and take corrective action when needed. Appropriate regular variance analysis (budget to actual cost) of the program and operating financial data are in place.
10. There are appropriate systems to track unallowable costs, program managers consistently review financial reports and take corrective action as needed, and there is a sound and well-documented delegation of authority system appropriate to the size of the local partner that ensures that no one person can request and make a transaction.
11. Audited financial statements receive an unqualified (unmodified) audit opinion (no Qualified Opinion, Adverse Opinion, or Disclaimer of Opinion), that no auditor, accountant, regulatory body, or other third party has communicated any "Deficiency" or "Significant Deficiency" in internal control; and that financial statements are audited annually by a third party recognized under the laws of the country. Appropriate policies, procedures, and practices are in place for managing and closing audit findings and recommendations.
12. There are systems to review audit packages that include maintaining a tracker on significant audit deviations, errors, exceptions, and deficiencies, and ensuring that findings are addressed in a timely manner. Previous financial and audit reports (including disallowed or questioned costs and management responses), to give ASAP a holistic view of the organization, understand the progress made to date, and ensure that plans address pre-identified gaps and confirm if there were findings and past performance issues, are reflected in transition plans.
13. The local partner has an effective system to track sources of funding and has good sources of funding from other activities/programs and/or from other potential sources of funding. Management clearly articulates the importance of diversifying sources of funding, and good practices are in place for business development.
14. The local partner consistently and accurately produces reliable monthly financial statements from the general ledger in accordance with its written procedures. Financial statements are reviewed by the organization's management, and corrective actions are taken when necessary.
15. The local partner has sound policies, procedures, and practices to ensure that all approvals are documented prior to cash disbursements and that there are clear lines of communication between finance and program staff relative to allowable and unallowable costs.
16. Accountants have an appropriate understanding of direct costs, indirect costs, cost allocation principles, and the concept of "cost objectives" in relation to intermediate and final "cost objectives"; and have the

requisite level of knowledge, skills, and experience in this area to accurately allocate indirect cost to grants, projects, and other cost objectives according to causal beneficial relationships. The accountant has a strong ability to apply concepts, principles, and practices of management and financial accounting and reporting, strong technical capacity and experience to prepare and monitor appropriate budgets (including cash flow projections and statements), and professional accounting qualifications that clearly meet the needs of the local partner.

17. Finance and program personnel have an appropriate level of understanding of the concept of allowable and unallowable costs from the perspective of donor restrictions; and finance personnel have an appropriate level of professional knowledge, skills, and experience (e.g., job cost accounting, fund accounting).
18. Management emphasizes and supports standard, practical, efficient, and effective practices for filing and records management, and the local partner has a contingency plan that includes procedures for backup/recovery. There are policies, procedures, and practices to safeguard the payment process and important documents, including financial records.
19. There are experiential learning opportunities, training, mentoring, and job aids to guide the transition to prime, including learning opportunities on calculating pipeline and burn rates, differences between the award amount and the obligated amount, and the importance of spending within the obligated amount.
20. There are processes to manage fluctuations in an exchange rate, including how to use a weighted average exchange rate.
21. There are processes to complete USAID financial reports and PEPFAR expenditure analysis reports and to upload them into Data for Accountability, Transparency, and Impact Monitoring.
22. There are established systems that support advances, which are integrated with travel approvals and the overall accounting system.
23. There is available training for pertinent staff in accounting procedures, internal controls, and financial management.

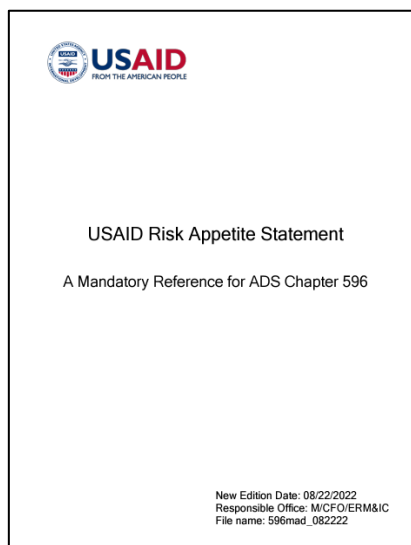
7. RISK MANAGEMENT

POLICIES

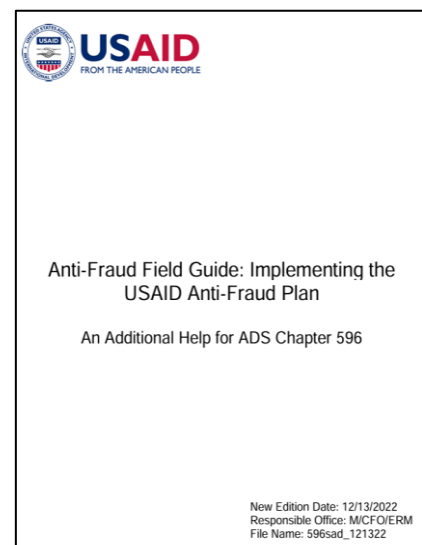
USAID has broad policies and guidance on the type of risk USAID is willing to accept and not accept.



[USAID Anti-Corruption Policy](#)



[USAID Risk Appetite](#)



[USAID Anti-Fraud Field Guide](#)

WEBINAR

- [ASAP II Webinar: Your Role in Reporting Fraud](#)

RESOURCES

- [USAID Learning Lab: Anti-Corruption Evidence and Learning Week](#)

TEMPLATES

1. [ASAP II Risk Assessment Template](#)
2. [ASAP II Risk Assessment Process](#)
3. [ASAP II Risk Management Guidance](#)
4. [ASAP II Risk Management Maturity Model](#)
5. [ASAP II Risk Management Scorecard](#)
6. [ASAP II Risk Register](#)
7. [ASAP II HR Risk Matrix](#)
8. [ASAP II Risk Assessment Finding Tracker](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. A fraud management policy is in place that addresses the most pertinent issues (i.e., roles/ responsible individuals or divisions in the organization, timelines for resolution of reported disclosures, communication with the whistleblower, potential rewarding of whistleblowers, and periodic publication of success stories throughout the organization). The policy is reviewed/updated at least annually, or when significant changes in operations occur.
2. The organization's fraud management policy addresses all intangibles, such as deterrence, zero-tolerance policy, detection, investigation, and follow-up.
3. There is an external fraud reporting hotline (whistleblowing hotline), and the reporting system is quite user-friendly and tested annually (e.g., fraud can be reported via SMS, phone, or email).
4. The reviewer tested the reporting line and found that it was functioning correctly and that a response was issued/received that the allegation would be investigated.
5. An organization-wide fraud risk assessment is performed, involving all key individuals (throughout the organization) and addressing all the steps of a risk assessment process; the results are completely and accurately applied organization-wide and used to update the policy.
6. A program-specific fraud risk assessment is performed, involving all key individuals (throughout the organization) and addressing all the steps of a risk assessment process; the results are completely and accurately applied program-wide.
7. Training/ awareness sessions are held for all employees throughout the organization (in their native language). Presentation material for the sessions covered all relevant information, and the training was frequent with the latest updates (e.g., tri-annually as necessary, on complexity of operations, number of awards, size, etc.).
8. Fraud reporting is required in sub-agreements, the procedure is clearly defined, and staff are fully conversant with the process and motivated to report suspected wrongdoing.
9. Organization has an adequate and effective compliance framework that includes a comprehensive anti-corruption policy and procedures (such as a conflict of interest concerning staff, suppliers, and/or external advisors) and efficient systems and structures to detect instances of non-compliance.
10. Organization has adequate internal control systems and procedures to safeguard its assets, manage internal risk, and ensure the accuracy and reliability of its financial information—all of which are consistently reviewed and updated.
11. Checks or wire transfers are authorized/signed by at least two authorized signatories, all cash received is banked intact, and there is a written policy detailing who can authorize expenditures of different types or values. All cash or checks received are recorded on pre-numbered receipts, all payments and receipts are

recorded in cashbooks (date, description, amount), every entry into the cashbook is cross-referenced to a supporting document, and all cash books are updated.

12. All expense claims for staff advances are checked against the advance amount and reconciled, documentation that demonstrates receipt of advances is received by the appropriate staff, all expense claims against staff advances are checked against the amount advanced and reconciled, and documentation proves that the advances were received by the appropriate staff.
13. There is supporting documentation for petty cash disbursements that includes a payee, cash is safely locked in a cashbox or safe and is in the custody of one individual, a physical petty cash count is made regularly (weekly/monthly), and is checked by a senior staff member and documented, petty cash reconciliation is performed at least every month, all disbursements made are within the predetermined maximum amount for petty cash disbursements, and supporting documentation for disbursements contains a description of the disbursement and shows its date.
14. There is/are bank account(s) in a registered commercial banking institution appropriate for the local partners' mission and/or goals; they are accurately reconciled monthly; there is documentation with the dates the monthly bank reconciliations were prepared; and who prepared, reviewed and approved them, with corresponding signatures affixed. There is a bank account specifically dedicated to the intended project within the first month of the award. There are requirements covering regular bank reconciliations that ensure appropriate action on items outstanding over 60 days.
15. There is a reliable double-entry accounting/bookkeeping system that meets the local partner's needs and is appropriate; financial transactions are entered into the system daily; and the bookkeeping system has functionalities to reconcile the subsidiary ledger to the main ledger.
16. There is a chart of accounts and corresponding general ledger that meet the local partner's needs; the numbering system for the general ledger follows country statutory requirements (if any) without exception; and all financial transactions are recorded regularly and consistently in accordance with approved and otherwise appropriate accounting standards, principles, and practices. Financial statements are consistently derived from the general ledger (trial balance), and financial statements are prepared in accordance with applicable national and international accounting standards.
17. Appropriate financial reports are accompanied by budget data and variance analysis (budget to actual cost) reports and program managers consistently review financial reports and take corrective action as needed.
18. There are appropriate systems that track unallowable costs, program managers consistently review financial reports and take corrective action; and there is a sound and well-documented delegation of authority (DoA) system, appropriate to the size of the local partner, to ensure that no one person does all the work relating to a full accounting cycle transaction.
19. Audited financial statements receive an unqualified (unmodified) audit opinion (no Qualified Opinion, Adverse Opinion, or Disclaimer of Opinion); no auditor, accountant, regulatory body, or other third party has communicated any "Deficiency" or Significant Deficiency" in internal control, and financial statements are audited annually by a third party recognized under the laws of the country. There are appropriate policies, procedures, and practices for managing and closing audit findings and recommendations.
20. There are systems to review audit packages that include a tracker for significant audit deviations, errors, exceptions, and deficiencies; and addressing findings in a timely manner.
21. There is a system to track sources of funding.
22. Monthly financial statements from the general ledger are in accordance with its written procedures, financial statements are reviewed by the organization's management, and corrective actions are taken when necessary.
23. There are policies, procedures, and practices to ensure that all approvals are documented prior to cash disbursements and that clear lines of communication exist between finance and program staff relative to allowable and unallowable costs.

24. Accountants have an appropriate understanding of direct costs, indirect costs, and cost allocation principles, as well as the concept of “cost objectives” in relation to intermediate and final “cost objectives”; and have the requisite level of knowledge, skills, and experience in this area to accurately allocate indirect cost to grants, projects, and other cost objectives according to causal beneficial relationships.
25. Finance and program personnel have an appropriate level of understanding of the concept of allowable and unallowable costs from the perspective of donor restrictions; and finance personnel have an appropriate level of professional knowledge, skills, and experience in job cost accounting, fund accounting, etc.
26. Management emphasizes and supports standard, practical, efficient, and effective filing and records management practices; and there is a contingency plan that includes procedures for backup/recovery.
27. There are established systems that support advances, which are integrated with travel approvals and the overall accounting system.
28. Training is available to pertinent staff in accounting procedures, internal controls, and financial management.

8. PROCUREMENT AND LOGISTICS

POLICIES

- [USAID Mandatory Standard Provisions for Non-U.S. Organizations](#)
- [Motor Vehicle Source/Manufacture Waiver Request Guide \(ADS 312sac\)](#)

TEMPLATES

1. [ASAP II Comparative Bid Analysis](#)
2. [ASAP II Price and Vendor Analysis Form](#)
3. [ASAP II Procurement Documentation Checklist](#)
4. [ASAP II Procurement Meeting Report](#)
5. [ASAP II Goods Received Note \(GRN\)](#)
6. [ASAP II Procurement Plan template](#)
7. [ASAP II Procurement Filing Procedures](#)
8. [ASAP II Purchase Order Service Contract](#)
9. [ASAP II PO Template](#)
10. [ASAP II PR Template](#)
11. [ASAP II Service Level Agreement – Template](#)
12. [ASAP II Sole Source Justification-Example 1](#)
13. [ASAP II Sole Source Justification Guidance](#)
14. [ASAP II Sole Source Justification-Example 2](#)
15. [ASAP II Advance Request Form](#)
16. [ASAP II Travel Authorization Request \(TAR\) Template](#)
17. [ASAP II Travel Authorization Template-Example 1](#)
18. [ASAP II Travel Authorization Template-Example 2](#)
19. [ASAP II Travel Expense Report \(TER-Example 1](#)
20. [ASAP II Travel Expense Report \(TER-Example 2](#)

21. [ASAP II Travel Expense Report \(TER\)-Example 3](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. The organization's procurement practices comply with USAID requirements and include requirements for justifying award cost or price. These policies are consistently applied correctly.
2. Annual procurement plans consolidate the needs of individual departments and/or teams.
3. Procurement policies, procedures, and practices—suitable to country conditions—are known and understood by pertinent staff and are consistently adhered to, reviewed, and updated as necessary. Competitive procedures guide how reasonableness is determined, are made, specify who is responsible for purchases, are effective in practice, reflect arm's-length bargaining principles, cover sole sourcing, and eliminate the potential for conflicts of interest. Employees are trained and consistently follow these policies, procedures, and practices.
4. A policy on sole sourcing exists and is consistently implemented.
5. Procurement policies include routine checking of vendors against specially designated lists, such as the OFAC SDN list or the UN SDN list for sanctioned entities; and are consistently applied with supporting documentation.
6. Selection of the best-qualified supplier/vendor is consistently documented and signed by all members of the selection committee. Excluded parties, terrorism, and other required searches are performed for all potential vendors, consultants, and subcontractors, and are filed.
7. A tiered ceiling threshold is in place that includes micro-purchases, and staff are aware of it and apply it correctly and consistently.
8. There is/are pre-qualified vendor list(s), preferred vendors, and service providers under framework contracts that have been established through an open and competitive expression of interest process.
9. Conflict of interest forms are fully signed by all employees and all staff are trained on them.
10. The local partner complies with applicable cost principles, as outlined in CFR 200, and with regulations for Ineligible and Restricted Commodities and Services.
11. There are comprehensive fraud-proof provisions in legal instruments such as local purchase orders.
12. Individuals responsible for procurement have the required experience in managing donor-funded or similar procurements in a competitive, transparent manner that is free from conflicts of interest.
13. A fully executed lease agreement and selection/competition process are documented.
14. A Vehicle Management Policy is in place and is consistently implemented/ followed.
15. Travel advances show a breakdown of the requested amount and are consistently signed by the program manager, finance, and supervisor.
16. All workshops, travel, and other advances are tracked in ledgers.

9. PROPERTY MANAGEMENT

TEMPLATES

1. [ASAP II Asset Register Template](#)
2. [ASAP II Asset Transfer Form](#)
3. [ASAP II Employee Asset Assignment Form](#)
4. [ASAP II Property-Equipment Damage, Loss, Theft Report Template](#)
5. [FSnetwork: Asset Inventory Disposition](#)

6. [HSS: Disposition Plan Template](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. The organization has comprehensive, well-thought-out, well-documented, and effective property management policies, procedures, and practices that meet its needs and reflect best practices. All fixed assets (e.g., vehicles and computers) are safeguarded and controlled with a fixed assets register.
2. Fixed assets (e.g., vehicles and computers) are safeguarded and monitored by a fixed assets register, and there is a tracking system for equipment and supplies that includes the description, serial number, acquisition cost, date, fixed asset number, location, condition, and funding source of each asset, which is continuously updated.
3. The director/manager consistently updates and signs the inventory list, there is documented evidence available to support the most recent physical asset verification, there are adequate controls to ensure that obsolete commodities are not distributed, the commodities storage facility is maintained adequately and refrigerated if necessary, and the storage facility is locked.
4. A Fixed Assets Register (FAR) is tracked against the source of financial transactions and consolidates all relevant information required, including but not limited to a description of the asset, serial number, acquisition date and cost, reference numbers (Check Payment Voucher, Journal Voucher, Goods Receipt Note & Stock Issue Voucher), fixed asset number, location, condition, funding source, and Federal Award Identification number.
5. Segregation of duties for purchasing and listing on the inventory list is consistently applied.
6. There are adequate and consistently applied and documented controls to ensure that obsolete commodities are not distributed.
7. The commodities storage facility is maintained adequately, refrigerated if necessary, and locked.
8. The property disposal process is sufficiently documented in the policies on property management and is always followed.
9. The organization has adequate insurance for all its fixed assets, including donor assets.
10. There are a vehicle logbook and a vehicle management policy that are consistently followed.

10. INFORMATION SECURITY

POLICY

- [USAID: Digital Strategy](#)

TRAINING

- [USAID: Why Cybersecurity Matters for Development](#)
- [USAID: What Can USAID Do to Strengthen Cybersecurity](#)
- [USAID: Cybersecurity and the Program Cycle](#)

RESOURCES

- [USAID: Cybersecurity Primer](#)
- [USAID: Cybersecurity and Global Health](#)
- [USAID: Digital Ecosystem Country Assessment \(DECA\) Toolkit](#)

TEMPLATES

1. [ASAP II IT Risk Assessment Policy](#)
2. [ASAP II IT Committee TORs](#)



3. [ASAP II Document Retention Register](#)
4. [ASAP II Password policy](#)
5. [ASAP II IT SOP-Network-Password Management](#)
6. [ASAP II IT Disaster Management Plan](#)
7. [ASAP II Information Technology Security SOP](#)
8. [ASAP II ICT Steering Committee TOR](#)
9. [ASAP II IT Security Plan](#)
10. [ASAP II IT Policies and Procedures](#)
11. [ASAP II Employee Asset Register](#)
12. [ASAP II IT Policies and Procedures Manual](#)
13. [ASAP II IT Strategic Interventions](#)
14. [ASAP II IT Assessment Questionnaire Template](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. IT policies, procedures, laws, and regulations must include data security, privacy, and use, in addition to websites, email, and server management processes that adapt and keep pace with changing contexts, including those in digital technology, and all are regularly updated.
2. Policies and procedures ensure necessary user access controls; regulate actions, functions, applications, and operations of legitimate users; protect the confidentiality, integrity, and availability of information resources; and improve awareness of end users in applying learned security practices and their ability to efficiently respond against cyber-attacks.
3. All computers have up-to-date antivirus and antimalware software installed; there is a firewall, a router, and a secured wireless network that protects unauthorized outside access to the network; and there is a separate password-protected guest network for all devices not under the control of the organization (e.g., phones, visitor computers), which is changed frequently.
4. An IT committee includes senior leadership, and other staff external to the IT department, who are responsible for overseeing IT functions (including review and approval of the annual IT plan, (hardware and software purchases, equipment to be sunset, staffing, and training for staff), and regularly evaluate and address identified IT risks (e.g., data, system, and physical security).
5. An annual IT plan includes hardware, software purchases, staffing, training, and equipment to sunset and is reviewed/updated annually.
6. There are IT infrastructure and procurement procedures that ensure compliance with the National Defense Authorization Act (NDAA) 889 on procuring telecommunication and video surveillance services or equipment.
7. There is cyber security insurance with independent confirmation from external experts on the adequacy of the coverage and a written policy that addresses data and network access rights for users within the entity.
8. Procedures are in place to notify IT immediately of staff termination; user access rights are removed or suspended upon departure; and systems incidents, problems, and errors are reported, analyzed, updated, and consistently implemented. There is evidence of tracking and resolving incidents.
9. A disaster recovery procedure is consistently implemented; data is regularly backed up both locally and offsite as per documented procedures; and IT database administration duties are consistently segregated.
10. Shared drives are accessible where staff share and store organizational documents.

11. Internet browsers are supported by a vendor, with updates and patches occurring automatically.
12. All employees use lap/desktops provided, which are maintained and governed by IT policies and procedures; a standard operating environment is used; and all workstations are configured and maintained in the same way, with a standard set of software.
13. There are sound backup practices for all types of critical, confidential, and sensitive data.
14. There are procedures for account management of financial information systems by users that grant various privileges to pertinent staff to accomplish designated departmental tasks.
15. IT service procurements follow procurement policies.
16. Procedures are in place to ensure that systems incidents, problems, and errors are reported, analyzed, and updated; and are consistently implemented. There is evidence of tracking and resolving incidents.
17. IT database administration duties are consistently segregated, and there is a written policy or procedure on segregation. (Database administration is segregated from other I.T. functions, and there is an associated written policy.)
18. Data is regularly backed up, both locally and offsite, as per documented procedure.
19. The organization has a firewall, a router, and a secured wireless network that protects against unauthorized outside access.
20. The organization has a separate password-protected guest network for all devices not under the control of the organization (e.g., phones, visitor computers). The password is changed frequently.
21. All servers and client computers are regularly updated with the latest operating system and third-party software patches, drivers, and firmware.
22. The operating system and internet browser are supported by software developed (e.g., Microsoft), with updates and patches occurring automatically.
23. All employees use laptops that are provided and maintained by the organization and thus governed by the organization's IT policies and procedures.
24. A Standard Operating Environment is used. All workstations are configured and maintained in the same way, with a standard set of software.
25. Only licensed software is used, and all licenses are up to date.
26. There is a policy for the use of passwords—including retention, scheduled changes, and physical security of computers—and it is consistently implemented.
27. There are automatic shutdown/system locks for all computers, which are consistently followed.

11. SUBAWARD MANAGEMENT

POLICY

- [USAID: ADS 303 Grants and Cooperative Agreements to NGOs](#)

TRAINING

- [USAID: Sub-Partnerships](#)
- [USAID: Sub-Partnerships](#)
- [ASAP II Subaward Management Training Manual](#)
- [ASAP II Subaward Management Training Manual Presentation Slides](#)

The Subaward Training Manual provides prime partners with the basic resources and knowledge to support and capacitate subawards in applying for and managing grants as a prime. This manual is intended to respond to this PEPFAR announcement by providing guidelines on how primes can build capacity at LPs; and is guided by US Government (USG) rules, regulations, and requirements (e.g., **ADS 302, 303, 312, 2CFR 200**).



Subawards are an integral part of implementing and managing USG-funded projects. Over time, however, it has become apparent that a significant number of LPs lack the capacity to effectively and efficiently manage donor funds entrusted to them. Of great concern is that most prime partners do not know how to strengthen or build the capacity of subawards; they have not had the experience of developing a Subaward Program in full compliance with USAID's Rules and Regulations. To bridge this gap and build the capacity of both primes and subrecipients, this manual provides guidelines for primes to monitor, oversee, and strengthen subawards.

TEMPLATES

1. [ASAP II Award Completion Certificate](#)
2. [ASAP II Sample Budgets](#)
3. [ASAP II COI Certification for RFA](#)
4. [ASAP II COI Confidentiality Certification for RFA Review](#)
5. [ASAP II Cost Share Valuation and Documentation Checklist](#)
6. [ASAP II Financial Reconciliation Practices](#)
7. [ASAP II Pre- and Post-Training Exercises](#)
8. [ASAP II Pre-Award Authorization Letter](#)
9. [ASAP II Risk Management Register](#)
10. [ASAP II Sample Training Agenda](#)
11. [ASAP II Site Visit Checklist](#)
12. [ASAP II Subaward Financial Compliance Checklist](#)
13. [ASAP II VAT Reporting Form](#)
14. [ASAP II VAT Tracking Log Example](#)
15. [ASAP II Subgrantee Reporting Tracker](#)

RESOURCES

- [USAID: Infographic: Is USAID approval required for a prime recipient of USAID assistance](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. There is a consistently applied, board-approved subaward manual that includes: 1. Roles and Responsibilities for Grants Management and Administration; 2. Pre-Award Process and Procedures; 3. Post-award Process and Procedures; 4. Implementation of Grant Project; 5. Project Evaluation; 6. Compliance, audits, and audit readiness; Project close-out.
2. Templates exist and are fully compliant for Cost or Firm Fixed Price Contracts, Cost Plus Fixed Fee, Time and Materials, Indefinite Delivery/Indefinite Quantity; AND the right mechanism is correctly and consistently applied.
3. All sub-partners are identified when applying for the award and appear in the approved award.
4. Requests for Applications are posted on all country-appropriate sites and include organizational background; project goals and targets; geographical scope; thematic area; SOW; deliverables; budget with appropriate categories; RFP instructions; and eligibility criteria.
5. Sole Source awards are fully justified and approved by USAID.
6. Requests for approvals for subawards are submitted on time, with all relevant information, and USAID has approved all subawards.

7. The organization consistently uses the NUPAS Plus or other internationally recognized tools that use verifiable evidence for scoring risk. Staff are trained in using the tool AND risk assessment is completed before the award is made.
8. Special Award Conditions are based on pre-award assessment findings and have realistic timeframes for completion.
9. All prime award contract provisions are included in subawards: 1. Fraud reporting; 2. Prohibition of Terrorism Transactions; 3. Suspension; 4. Trafficking persons; 5. Child Safeguarding; 6. Voluntary Population Planning; 7. Anti-corruption; 8. Conflict of Interest; 9. Whistleblower; 10. Procurement of restricted goods; 9. ALL Mandatory Standard Provisions.
10. The subaward budget includes All categories: 1. Salaries; 2. Fringe; 3. Consultants STTA; 3. Travel and transport; 4. Equipment; 5. Supplies and Consumables; 6. Activities; 7. Indirect cost, Operations, and Overhead; 8. Cost share/marching costs; 9. NICRA or 15% de minimis; 10. Budget notes. Each category has the right funding level to meet performance and compliance requirements.
11. A policy for indirect costs for subawards is consistently applied to all subawards, using either the 15% de minimis or NICRA.
12. Subawards have work plans approved by technical leads, and these work plans include ALL activities, targets, and timeframes.
13. The organization has a subaward reporting template that includes activities, performance indicators, financial reports, challenges, and success stories; and all subs use the template consistently.
14. Subrecipients receive ongoing training on how to comply with the terms and conditions of their subawards, and all weaknesses identified in the pre-award assessment are included in a capacity-building plan.
15. Subrecipients understand when modifications are required through training or documentation. The prime anticipates the need, issues all modifications in a timely manner, and files all fully executed copies.
16. When applicable, subawards have an approved Monitoring Plan that is fully compliant with USAID standards and includes monitoring approach, process, systems, indicators, and reporting timeframes; and it is consistently used as a reference document during site visits or desk reviews.
17. All deficiencies identified during monitoring are properly addressed through site visit reports, modification, corrective actions, or termination when necessary.
18. Subaward financial systems have adequate capacity to segregate, track, and monitor subaward expenses.
19. Grantees and subrecipients understand when prior approvals are needed and submit regular reports. These are retained on file and are submitted to the prime sufficiently in advance.
20. Site visits for all subs include a review of activities, performance results, and compliance with the awards checklist or report template; and are consistently applied.
21. Close-out policies and procedures for subawards are consistently applied.
22. The organization has policies/procedures to review and select applications that include signed conflict of interest forms for evaluation committee members, and these policies/procedures are consistently applied.
23. Individuals responsible for subaward management have the requisite qualifications and experience, including experience or understanding of USAID rules and regulations.

12. HUMAN RESOURCES

TECHNICAL BRIEF

- [ASAP II: Market Salary Survey](#)

WEBINAR

- [ASAP II: Human Resources Policies & Procedures](#)

TRAINING

- [Disaster Ready: Human Resource Toolkit](#)

TEMPLATES

1. [ASAP II Confidential Information Policy](#)
2. [ASAP II Criminal Record Verification Policy](#)
3. [ASAP II Criminal Record Check Policy Team](#)
4. [ASAP II Code of Conduct](#)
5. [ASAP II Ethical Violations Reporting Poster](#)
6. [ASAP II Payroll Allocation Policy & Payroll Reconciliation Procedures](#)
7. [ASAP II Study Leave Policy](#)
8. [ASAP II Working Time Management Policy](#)
9. [ASAP II Job Description Template](#)
10. [ASAP II Staff Onboarding Checklist](#)
11. [ASAP II Staff Performance Evaluation Form](#)
12. [ASAP II HR Policy \(Employee Handbook\) Template](#)
13. [ASAP II Staff Probation Period Evaluation Form](#)
14. [ASAP II Induction Schedule for New Staff](#)
15. [ASAP II Staff Performance Agreement Template](#)
16. [ASAP II Employment Reference Check Form-Template](#)
17. [ASAP II Severance Pay Template](#)
18. [ASAP II Timesheet Template](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. HR policies, procedures, and practices comply with local law and are regularly updated and approved by the board.
2. HR policies include fair recruitment; files for recruitment; reference and salary checks; employee and consultant contracts; vacancies; personnel files; orientation; staff skill sets; career advancement; professional development opportunities; personnel appraisals; attrition; resignations; travel; personnel data protection; code of ethics; diversity, equality, and inclusion; staff wellness; exit interviews; staff engagement; compensation; and security and safety.
3. Staff are recruited freely and fairly based on merit only, all filled positions match the qualifications and experience described in their job descriptions, and all references and salary history are consistently verified and documented before employment is offered. Key positions are not vacant for more than three months.



4. New staff undergo a documented onboarding and orientation process with signatures indicating they have learned about policies and procedures.
5. Staff have significant opportunities for career advancement and salary increases; all staff have opportunities for professional development on an annual basis; all staff received a personnel appraisal every six months for the past three years; and staff attrition is low for the organization's size, type, and location.
6. There are policies and procedures for staff retention, career development strategies, engagement surveys, exit interviews, and related data, including platforms for free and affordable e-learning opportunities and platforms available to NGOs and USAID partners; staff attrition is low for the organization's size, type, and location; and key positions are not vacant for more than 3 months.
7. The organization has a well-documented policy on compensation (salary scales and increases) and benefits for different types and levels of employees.
8. Staff on the payroll are verified as active; changes in salary or allowances are properly supported with approved documents; systems are in place that support tracking, preparation, and submission of staff statutory deductions, related refunds, and consolidated statutory deductions reports in compliance with local labor laws and approved by senior and authorized officials.
9. Travel policy includes lodging, meals, and incidentals; staff advances are calculated correctly and given in sufficient advance.
10. DEI issues are considered when hiring, promoting, and developing staff; and deliberate initiatives ensure that minority groups are considered and represented in the organization.
11. There is a staff wellness policy, implements initiatives to promote the physical and mental health of its employees, and exercises care for its staff to ensure their well-being, including counseling services.
12. HR reports are prepared on a regular basis, which provides management with HR data to track retention and staff engagement levels throughout the entire employee life cycle.
13. Exit interviews are conducted with every staff separation; management analyses data from exit interviews to identify general trends for staff departures and share this information with managers; efforts are made to address the causes.
14. Staff exiting from the payroll are supported by genuine resignation or termination letters; all staff on the payroll are verified as active; all changes/revisions in salary or allowances are supported with approved documents; each monthly payroll is approved by senior and authorized officials; and all deductions are properly made while preparing payrolls/pay sheets.
15. Management always seeks and considers staff opinions on matters that affect staff.
16. The organization conducts market salary surveys at least every other year, and the board approves any changes to salary scales every three years.
17. Safety and security policies are in place and all incidents are reported and investigated; action is taken to address the risk.
18. Clear procedures are in place for staff to air grievances and receive prompt responses.
19. Timesheets include budget codes for all projects; staff consistently submit them on time and without errors.
20. There are policies and procedures that ensure collaboration with similar organizations for benchmarking good HR practices.
21. There are decision-making processes that involve staff extensively in shared responsibility, ownership, and accountability.
22. There is strong two-way communication between management and staff, and regular structured settings to exchange ideas and discuss problems and opportunities.

13. GENDER

POLICIES

- [USAID: 2023 Gender Equality and Women's Empowerment Policy](#)

TRAINING

- [USAID: Gender 101 Training](#)
- WEBINARS
- [ASAP II: Gender Equality and Gender-based Violence Prevention & Response Services in USAID's PEPFAR Programs](#)
- [ASAP II: Optimizing Gender Integration at the Organizational Level](#)

TEMPLATES

1. [ASAP II Gender Audit Tool](#)
2. [ASAP II Gender Analysis Tool](#)
3. [ASAP II Checklist for Integrating Gender in Job Descriptions](#)
4. [ASAP II Gender Equality Policy and Guideline](#)
5. [ASAP II Operational Work Plan for Implementation of Gender Equality Policy](#)
6. [ASAP II Gender Integration Recommendations for Updating Strategic Plan](#)
7. [ASAP II Gender Integration Report](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. Gender policy and implementation guidelines are consistently used to mainstream gender into policies and practices.
2. There is mandatory gender integration training at least every two years, and all staff have attended.
3. 100% of needed financial resources are available for implementation of the organization's gender policy at institutional and programmatic levels.
4. The organization's mission statement clearly promotes gender equality and women's empowerment and is consistently implemented.
5. There is at least one full-time gender-focal person with clear roles and responsibilities.
6. The organization addresses gender and gender-based violence in programs that target women/men and girls/boys.
7. The organization has a policy and procedures for using sex-disaggregated data, and these are consistently applied.
8. The organization conducts a gender analysis as part of planning, monitoring, and evaluation activities and includes 1) access, 2) knowledge belief and practices, 3) practices and participation, 4) time/space, and 5) legal issues.
9. The organization has a strategic plan that includes gender equality or women's empowerment activities, monitors it regularly, and is on track.
10. Gender roles and responsibilities are integrated into all staff (including top-level leadership), and they are monitored for their respective gender mainstreaming mandate as part of performance appraisals.
11. The organization has a zero-tolerance sexual harassment policy, with a code of conduct that is signed by all staff, and a system for reporting harassment.

12. Gender equality is incorporated in the organization's communications and media strategies, and a gender perspective is reflected in its communication materials (e.g., brochures, and newsletters).
13. The organization has planned and achieved gender parity in both top-level leadership (including board and higher-level management) and project/program/technical staff.
14. The organization has a policy that is consistently inclusive of LGBTQ individuals in the workplace.
15. The organization has a human resources policy that promotes equal opportunity and nondiscrimination and uses affirmative measures in hiring and promotion.
16. The organization has a human resources policy/gender policy that covers breastfeeding as work time.

14. COMMUNICATIONS

POLICIES

- [USAID: Success Story Guidelines for USAID Partners](#)
- [USAID: Graphic Standards Manual and Partner Co-Branding Guide](#)
- [USAID: Photo Guide for USAID Partners](#)
- [USAID: Video Shooting Tips](#)
- [USAID: Style Guide](#)



WEBINARS

- [ASAP II: Working with USAID Communication](#)
- [ASAP II: Raconter l'histoire de votre projet](#)
- [ASAP II: Writing an Abstract](#)
- [ASAP II: Developing a Communication Strategy](#)

RESOURCES

- [NGO Connect: Telling Success Stories for USAID Partners](#)

TEMPLATES

1. [ASAP II External Communication Strategy](#)
2. [ASAP II Knowledge Management Policy Template](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. The organization has a communications plan and/or strategy, and practices, which are updated and aligned to organizational goals. Donor-funded programs/projects have a clear understanding of their branding/marketing/communication requirements. The organization understands who its audience is and has plans to communicate with these audiences using appropriate channel(s) and messaging.
2. At least one staff member is primarily dedicated to communication-related activities, and this is well reflected in their title and job description. This individual has the skills and experience appropriate for the role and feels supported by the organization to succeed in it. There are opportunities for effective training and professional development in communications.
3. There is an organized data collection process, and information is stored in a centralized database with a formal backup process to protect the data. Appropriate staff have access to the information and are able to effectively utilize the system. Staff are aware of photo consent/release forms and have processes to obtain consent before publishing any items, including personally identifiable information or graphics.

4. The organization has formal methods for monitoring and evaluating its communication activities, and these align with the organization's goals and mission. Data collection is organized, and an appropriate staff member is dedicated to ensuring that communication-related activities are regularly evaluated for effectiveness.
5. The organization has:
 - Proven analytical capacity to identify good practices and lessons learned.
 - Strong systems for documenting, storing, and disseminating program knowledge.
 - Analyzed and internally shared good practices and lessons learned at least twice a year.
 - Frequently participated in formal networks and taken a leadership role.
 - Frequently and routinely participated in discussions with donors, governments, and civil society organizations on approaches, lessons learned, and good practices.
 - Frequently presented its approaches and results at external events.
6. The organization has:
 - Good two-way communication between management and staff, and within and across departments or functions.
 - Regular structured settings to exchange ideas and discuss problems and opportunities.
 - Frequent discussions with management, initiated by staff, in which challenging issues are raised.
 - A decision-making process with extensive staff involvement for shared responsibility, ownership, and accountability
 - Good space and infrastructure to facilitate internal communications.
7. The organization has:
 - A good written strategy for identifying audiences, channels, and materials for external communications.
 - A written external communications strategy that is consistently followed.
 - Good capacity for implementing the external communications strategy and overseeing written and oral products.
 - Good processes for pre-testing and revising external communication messages and materials and monitoring their effectiveness.
 - Good templates or style guides for documents and the website.
 - A strongly positive reputation with key stakeholders.
8. The organization consistently complies with USAID Co-Branding guidelines. Marking and Branding Public Communications under the mandatory provisions for USAID-funded assistance. The standard USAID logo is always used unless the award requires an additional or substitute logo. When the USAID Identity cannot be displayed, the recipient otherwise acknowledges USAID and the support of the "American People."
9. The organization has an approved marking plan, is aware of the need to pre-produce materials and public communications for AO approval, has sufficient lead time in submitting copies of notices for approval by the AOR and USAID's Office of Legislative and Public Affairs, and follows the approved marking plan with no exceptions. The organization gives public notice of the receipt of their award and announces progress and accomplishments. Press releases or other public notices always include a statement substantially as follows:

15. MONITORING AND EVALUATION

POLICIES

- [USAID Evaluation Policy](#)
- [USAID Program Cycle Operational Policy](#)

TRAINING

- [WorkwithUSAID: Monitoring, Evaluation, and Learning](#)
- [WorkwithUSAID: Preparing Progress Reports](#)

WEBINARS

- [ASAP II: PEPFAR Data Quality Assessment \(English\)](#)
- [ASAP II: PEPFAR Data Quality Assessment \(French\)](#)
- [ASAP II: PEPFAR Data Life Cycle](#)
- [ASAP II Advanced Analytics for Data-Driven Decision-Making and Action](#)

RESOURCES

LOGIC MODELS

- [How-To Note: Developing a Project Logic Model and its Associated Theory of Change](#)
- [Performance Management Plan \(PMP\) Toolkit](#)

PEPFAR

- [PEPFAR Site Improvement Through Monitoring System](#)
- [PEPFAR FY23 Monitoring, Evaluation, and Reporting 2.6.1 Indicator Reference Guide](#)
- [DATIM](#)
- [DATIM account access](#)

USAID

- [Monitoring Toolkit: Activity Monitoring, Evaluation, and Learning Plan Template](#)
- [Learning Lab: Evaluation Toolkit](#)
- [Commonly Used USAID Performance Monitoring and Evaluation Terms](#)
- [Activity Monitoring, Evaluation, And Learning Plan Template](#)
- [How-To Note: Activity Monitoring, Evaluation, & Learning \(MEL\) Plan](#)

DATA QUALITY

- [Datafi Guidance for Deduplicating Client-Level Data](#)
- [Performance Monitoring & Evaluation Tips Conducting Data Quality Assessments by USAID](#)
- [Monitoring, Evaluation, and Reporting Indicator Reference Guide](#)

DATA VISUALIZATION

- [Data Visualization Style Guide by Office of HIV/AIDS](#)
- [Data Analytics and Use by USAID](#)
- [Free Dashboard Building Software PowerBI](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. The organization's monitoring and evaluation (M&E) guidelines document procedures for recording, collecting, collating, and reporting routine data from the health information system. Essential indicators use standardized data collection tools for routine performance monitoring.
2. The organization's M&E plan for the PEPFAR-funded project includes a reference sheet for performance indicators and specific resources (human, financial, and physical) that have been committed to the implementation of the M&E plan.
3. The organization's PEPFAR targets, including targets that reflect program interventions and are tailored to geographic areas and population groups, include intervention packages selected based on strong evidence, feasibility, relevance, and cost-effectiveness.
4. The organization maintains \Performance Indicator Reference Sheets (PIRS), including indicator definitions; methodology; transparency in decision-making around indicator selection and changes; and collaboration between USAID and partners to collect high-quality data.
5. M&E staff are familiar with PEPFAR reporting requirements, including DATIM data reporting, MER, and Site Improvement through Monitoring Systems (SIMS); and submit timely, high-quality reports that capture lessons learned.
6. The organization's Activity, Monitoring, Evaluation, and Learning Plan (AMELP) meets standards, using the local partners' existing M&E systems as starting points and determining Collaborating, Learning, and Adapting (CLA) needs and planning for CLA.
7. Staff responsibilities in the M&E unit are clearly defined in job descriptions, the number of permanent positions is adequate, and all M&E unit staff have qualifications and experiences specific to M&E. Staff utilize informatics and lessons learned to sustainably improve reporting and data use.
8. M&E staff are expertly able to collate, process, analyze, and package data and support decision-making (including preparing PowerPoint slides) and are fully aware of guidelines that specify when information or reports need to be received and distributed.
9. An annual work plan is available; activities in the work plan have specific timeframes for implementation; and contain clear and specific goals, activities, timelines, responsibilities, performance indicators, and targets.
10. Supportive supervision includes guidelines and tools, and the last supportive supervision was conducted according to current guidelines and with no gaps.
11. Data quality audits (DQA) are conducted as per the stipulated procedures; proper post-routine DQA follow-up actions are implemented, and findings and feedback from the data quality audit are shared with stakeholders.
12. Gender analysis and reporting are included as an element of data analysis and presentation in data use/review practices.
13. Technical/progress reports for the donor are completed on time and reflect the work plan.
14. M&E staff enhance the use of strategic information (SI) by accessing and utilizing tools to discern emerging patterns in data, identifying and resolving data quality issues, and using analytics to detect implementation challenges.
15. M&E staff utilize interactive data visualization and analytics tools to support decision-makers in ministries of health and at PEPFAR by tracking progress, including trend analysis and exception reporting, to bring forth actionable insights to drive data-informed decisions.
16. M&E and program staff are familiar with data quality standards and how they apply to indicators and data. They deeply understand why data is important to their programs, and why data quality matters.

17. M&E staff utilize dashboards to create micro-rewards for data inputs, enabling fast feedback for local partners' efforts that reinforces their desire to input quality data quickly and provides immediate insights into their work (e.g., progress towards daily facility or staff-level goals) that they can apply immediately.
18. Expenditure analysis is conducted using M&E and finance data and shows a correlation between the financial and technical aspects of the project.
19. USAID and PEPFAR reporting requirements are included in the training, and the M&E training curriculum includes a session or sub-session on gender in M&E.
20. Data for decision-making, through a data use plan, compares actuals to targets, performs trend analysis, reviews how such analysis can be used to steer progress, looks for patterns, and maps data to identify HIV "hotspots" and underserved locations for program improvements.
21. There is an efficient platform for program management that adapts to the transition plans of local partners and their program data needs.
22. Processes and procedures are in place that support the project life cycle by developing goals, SMART objectives, and work plans with activity descriptions, budgets, indicators, and targets.

16. ENVIRONMENTAL MITIGATION AND MONITORING

TEMPLATES

1. [Environmental Mitigation and Monitoring Plan](#)
2. [Mitigation Monitoring and Reporting](#)

CAPACITY STANDARDS TO BE CONSIDERED FOR CAPACITY DEVELOPMENT PLAN

Below is a list of capacity standards for organizations for NUPAS Plus 2.1 assessors and the NGOs can include in the CDP as appropriately needed:

1. The local partner has a completed EMMP that is submitted annually
2. The EMMP includes:
 - Who is responsible for action,
 - Indicators,
 - Monitoring method, and
 - Frequency of monitoring.
3. EMMP annual report includes:
 - Status of mitigation measures,
 - Outstanding issues, and
 - Any remarks, and that reports are submitted to USAID by the deadline.
4. EMMP is mainstreamed into the project's activities, including annual work plans.
5. There is an EMMP contact person, who receives comprehensive training/orientation.

17. WEBINARS

Webinars have been proven to be an excellent way to communicate with over 25,000 people with over 100 webinars. To see all the recordings and presentations visit www.intrahealth.org/asap-resources. The videos and slides were downloaded over 1000 times which is a measure of their success. Some of the topics for the webinars include USG Rules and Regulations; Cost Principles; Financial Management; Fighting Fraud; Cost Recovery and 15% de minimis; Organizational Capacity Assessments using NUPAS Plus 2.1 Communications – Telling Your Projects Story; Institutionalizing Good Human Resource Practices; PEPFAR Expenditure Reporting and

PEPFAR Human Resources for Health; Building Effective Boards; Business Development; Advanced Data Analytics and many others.

Steps for Planning and Implementing Webinars

1. Source topic ideas and keep a running list
2. Determine who would be best to develop the webinar, and who will host
3. Reach out to all parties involved and confirm interest
4. Hold webinar orientation meetings to establish POCs, and share audience engagement strategies, like polls and other Zoom features, and webinar best practices. Remind them to allow for Q&A time when timing out their presentation, and that panelist links are unique and should not be shared.
5. Determine if public speaking/presentation coaching is required/requested - if so, schedule time for dry runs. Dry runs can be recorded on Zoom and shared with the presenter so they can adapt their presentation.
6. Confirm the final title and summary/description of the webinar, target audience (if necessary), and name, title, and bio of presenters.
7. Schedule the webinar on Zoom or another platform.
8. Invitations in a newsletter should go out two to three weeks before the webinar.
9. Send out calendar invitations for the scheduled webinar, remember to include the 30 minutes before the scheduled start time for a prep session and tech check.
10. Ensure panelist's emails get added to the Zoom webinar.
11. Set up prep sessions through Zoom or another platform and send calendar invites with panelist links so they can access the prep session.
12. Hold one prep session – additional ones at the request of presenters. Request that everyone be using the mic, camera, computer, and internet connection at the location they plan to use on the day of the event. Go over the following:
 13. Introduction to zoom backend and the flow of the webinars
 14. Panelist links – a reminder not to share links as they are panelist-specific.
 15. Expectations of panelists vs support staff – who will manage Q&A, who will share the screen for the presentation, etc. (some presenters bring support for these items, others will request we manage these with ASAP staff)
 16. A reminder that panelists come in 'hot' – potentially on camera and mic, so important that everyone joins at the start of the webinar for 30 minutes prep to prevent any issues once the webinar is a live recording.
 17. Q&A box and tabs vs chat box – features, how we use them for our specific webinars
 18. Audience engagement features that presenters can add to their presentation
 19. Request poll questions if they have additional polls/quizzes they'd like to conduct using the Zoom feature (must be set up before the webinar starts, don't wait until the day of)
 20. Test all presenters' mics (have them recite two slides or speak for about a minute so that you can be sure audio isn't cutting out) and video (ensure there is enough light on their faces.
 21. Test that all presenters still have strong audio/video when they are sharing the presentation on screen, as this pulls more bandwidth.
 22. Loadshedding – is the presenter in a country where the internet or power may cut out? Discuss and have a plan to handle this, reminding the presenter to just log right back on if they get booted off the webinar.
 23. Determine the date for receiving the final presentation. Keep a copy of the presentation available, even if the presenter is planning to share the screen, as technical issues occur where we need to pivot quickly to keep the webinar going.

24. Determine if additional prep meeting or rehearsal is required before the date of a live webinar. If so, schedule on Zoom.
25. Remind presenters that we meet 30 minutes prior to going live, and it is very important that all presenters attend for the final tech check. This time should be included in the webinar prep invite that presenters will receive on their web/outlook calendar but does not show on the webinar attendance registration link.
26. Review presentation slides once received for branding, spelling, language, animations, etc. Ensure all co-hosts have a copy in case of technical issues.

Day of webinar

1. Check your email on the morning of the webinar and keep your inbox open, for any panelists who can't access their invitation and contact you.
2. Start prep session 30 minutes early.
3. Confirm all co-hosts, presenters/panelists, and Q&A support have joined
4. Test video, mic, and presentation sharing while sharing video (can be an issue when the presenter has connection issues)
5. Remind everyone that we'll turn off their camera while speaking to boost their audio if they have connection issues.
6. Remind panelists to please mute and turn off the camera when not actively speaking. (Hosts can also do this if someone forgets to mute.)
7. Open the webinar room to participants a few minutes early, welcome everyone, and ask them to put their organization and country in the chat box to get everyone engaged early. Tell them we'll start in a few minutes. Keep in mind that if you appear on screen but aren't speaking during those first few minutes, the audience tends to think the audio is not working.
8. Begin the presentation with a title page and cover any housekeeping matters.
9. Explain the difference between the chat box and Q&A. Ask participants to only use the Q&A feature for questions as they way we can keep them for reference for future webinars.
10. Be sure to keep the Q&A, chat, panelist/attendees, and poll boxes open, as well as a copy of the presentation, so you can be ready to assist with polls/Q&A or panelists coming off mute accidentally, quickly. If you need to leave your desk during the webinar, be sure to assign another ASAP co-host to those tasks.
11. Monitor chat and remind people to use Q&A for questions, and that webinar will be shared on the ASAP Resources page the following day.
12. Use judgment to share resources or website links that the presenter refers to in their presentation in the chat to keep participants engaged.
13. Monitor the Q&A box (and chat for additional Q&A) and dismiss repeat questions in the box, read out questions as requested by the presenter, and mark them as answered.
14. For presenter-requested polls, launch a poll when prompted by the presenter or a poll slide and leave it up for 1-2 minutes so people have time to fully read questions and respond. You can then *end the poll* and *share results* so all participants can see results. Presenters may want to discuss results with the audience, after which, you'll click *stop sharing results* to remove the poll from the screen.
15. Launch the final evaluation poll at the end of the webinar with enough time for responses – 10-15 min before the webinar ends (usually during the final Q&A section, but 10 min before the scheduled end of the presentation is running long).
16. Take a screenshot or page capture of the poll when done to share after meeting with presenters and USAID.
17. Close out the webinar.

After webinar

1. Send thank you emails to presenters/panelists right away, with the final attendance number.
2. Same day: Once webinar recording is done processing (time varies), download the video and the following reports and file: poll, registration, attendance, Q&A
3. Upload the video onto a YouTube account.
4. Turn presentation into pdf (reduce file size if necessary).
5. Clean data from attendee report
6. Confirm that the number matches the unique viewer number
7. Copy that data to the Compiled Attendee Report Excel, in the cleaned datasheet

YouTube UPLOAD

1. Go into Zoom, click on RECORDINGS in the left-hand navigation
2. Find the webinar and click on the title
3. Download the version called SHARED SCREEN WITH SPEAKER VIEW
4. Once downloaded, navigate to your YouTube account
5. Click YOUR CHANNEL, and then click the MANAGE VIDEOS button on the page (right side blue)
6. Click CREATE and UPLOAD VIDEOS
7. Drag or upload a video file (find it in your download file). Upload will begin and can take some time.
8. While it's uploading, give it a title and description (can be pasted from the webinar info on Zoom).
9. Choose 'NOT MADE FOR KIDS' and click on SHOW MORE if you want to update the language, etc. (in case of a French language webinar)
10. Click NEXT, NEXT through video elements and Checks, then click DONE. The video will continue uploading. It will load as standard definition first, then HD, and can take some time.
11. Keep this tab open and convert the presentation to the low-res PDF version
12. YouTube link to video for embedding (share link)
8. Presentation pdf

18. COMMUNITIES OF PRACTICE (COP)

A community of practice (CoP) is a group of people who share a common interest or profession and come together to learn, share knowledge, and network. CoPs can also be called learning networks, thematic groups, or tech clubs. Communities of Practice (CoPs) can play an important role in knowledge sharing and networking among staff at local organizations. You can have in-person or virtual CoPs for local partners to share knowledge, resources, and lessons learned. Under ASAP, CoPs were “USAID Free” zones as participants felt more comfortable asking their peers without revealing to the donor that they did not know the answer.

In survey reports, co-chairs felt that the CoPs had increased interaction among local partners and emphasized the role of CoPs in fostering the sense of being part of a global, peer-learning community, where personal relationships are built that create good synergy and an opportunity to “share and air issues” and “solve problems” in an “organized and coherent space.” Participants consider CoPs to be relevant and focused on the learning needs of their members. CoP co-chairs feel they have something to offer and are willing to help colleagues create platforms to share and learn. They referred to the communities as a family, where everyone has a responsibility. One co-chair, noting that “leadership is a major need in Africa,” said his life’s purpose was bigger than just earning an income and that local partners have recently been recognized as key players in the USAID response and have a responsibility to deliver.

Suggested Steps:

Start-up

1. Allocate a point person in your organization who will lead Community of Practice meeting logistics.
2. Use social media to advertise the formation of a CoP in the different topics you select.
3. Register new members into the Community of Practice
4. Obtain a Zoom or other platform license for the Communities of Practice and/or MS team for smaller subgroup meetings and set up Zoom/Teams meetings
5. At the first meeting, discuss and agree upon the Terms of Reference, frequency of meetings, and potential topics for discussion.
6. Nominate two or three co-chairs to manage the meetings
7. Maintain an up-to-date list of CoP members (email list serve/invitation group)
8. Maintain email list and attendance register of the Communities of Practice
9. Set up a WhatsApp group and a Facebook page if the group agrees
10. Create a knowledge management system to manage CoP knowledge, including a web-based repository for access to recorded meetings and shared resources...
11. Engage expertise from outside the community to sit and discuss specific knowledge gaps and areas of interest.
12. Manage presentation and advance slides (at the presenter's request)
13. Request that presentations be received 24 hours before the meeting.
14. Circulate PDF copies of presentations and circulate with minutes within two days of the meeting.

On-going Management

1. Monitor communication from community members (inbox)
2. Send out communication, documents, and invites to all community members at the request of the chair
3. Share documents and/or announcements relevant to Community Members at the request of the chair or other community members
4. Send reminders of key action items from previous meetings, one month in advance
5. Send reminders of upcoming events or deadlines
6. Send/update calendar invites upon receipt of instruction from the co-chair indicating the date, time, and duration.
7. Send a one-week reminder to all community members of the upcoming community of practice meeting, including agenda or relevant reading material c. Send a reminder one day before to all community members of the upcoming community of practice meeting
8. Co-moderate CoP WhatsApp group, by posting materials listed under communications on WhatsApp.
9. Co-maintain CoP Facebook group, by posting materials listed under communications on Facebook.
10. Establish other informal platforms for partners to present and discuss their insights and recommendations for restructuring implementation.
11. Form small peer mentor groups under the CoP umbrella.
12. Facilitator links to international digital health forums

Participant Surveys

1. If you want to collect information during the CoP you can use your platform functions for surveys
2. You can also use Mentipolls, which shares results immediately

3. If you use Mentipolls you need to request the poll 48 hours in advance

19. SUMMARY

1. Capacity Strengthening for Organizational Development is a complex process that requires prioritization of risk and capacity areas. It also requires USAID to fund the recommendations reported in the NUPAS or NUPAS Plus 2.1. Local Organizations should add line items in the year two budget to cover all the areas recommended.
2. This Compendium of Resources intends to be a live document that can be updated periodically with new material. Please make suggestions to your local USAID mission and the Capacity Building and Partnership Branch Chief at USAID Washington in the Office of HIV and AIDS and Program Sustainability through craulfs@usaid.gov.