TECHNICAL APPROACH FOR LOCAL PARTNERS

January 2020

USAID/Accelerating Support to Advanced Local Partners

AID-OAA-I-14-00031

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ABBREVIATIONS AND ACRONYMS

ACC   Associate Certified Coach
ADS   Automated Directives System
AI   Appreciative Inquiry
AMELP   Activity Monitoring, Evaluation and Learning Plan
AO   Agreement Officer
AOR   Agreement Officer Representative
ASAP   Accelerating Support to Advanced Local Partners
CDP   Capacity Development Plan
CEU   Continuing Education Units (South Africa)
CFO   Chief Finance Officer
CO   Contracting Officer
COI   Conflict of Interest
COP   Country Operational Plan
COR   Contracting Officer Representative
CSO   Civil Society Organization
DAI   Development Assistance International
DATIM   Data for Accountability, Transparency and Impact Monitoring
DQA   Data Quality Assessments
DUNS   Data Universal Numbering System
FBO   Faith Based Organization
FHI360   Family Health International 360
FPD   Foundation for Professional Development
FY   Fiscal Year
HICD   Human and Institutional Capacity Development
HPCSA   Health Professionals Council of South Africa
HRH   Human Resource for Health
ICF   International Coach Federation
IDIQ   Indefinite Delivery/Indefinite Quantity
IT   Information Technology
M&E   Monitoring and Evaluation
MBTI   Myers-Briggs Type Indicator
MCC   Master Certified Coach
MECAT   Monitoring and Evaluation Capacity Assessment Tool
MER   Monitoring, Evaluation, and Reporting
MOU   Memorandum of Understanding
MSI   MSI Worldwide
NGO   Non-Governmental Organization
NUPAS   Non-US Organization Pre-Award Survey
OAA   Office of Assistance and Acquisition
OCA   Organizational Capacity Assessment
OFAC   Office of Foreign Assets Control
OIG   Office of Inspector General
OPQ   Occupational Personality Questionnaire
OVC   Orphans and Vulnerable Children
PCC   Professional Certified Coach
PEPFAR   The U.S. President's Emergency Plan for AIDS Relief
PFMRAF   Public Financial Management Risk Assessment Framework
PIRS   Performance Indicator Reference Sheet
SAM   System for Award Management

SIMS	Site Improvement through Monitoring System
SOW	Scope of Work
STTA	Short Term Technical Assistance
TA	Technical Assistance
TBD	To be Determined
UCT	University of Cape Town
UN	United Nations
U.S.	United States
USAID	United States Agency for International Development
USG	United States Government

ACCELERATING SUPPORT TO ADVANCED LOCAL PARTNERS (ASAP) PROJECT

Accelerating Support to Advanced Local Partners (ASAP) is a three-year task order contract (AID-OAA-I-14-00031) for the United States Agency for International Development (USAID). It is under the Technical Assistance Support Contract 4 (TASC4) Africa IDIQ with a funding ceiling of $38,500,000 over a three-year period (2019-2021).

ASAP is one of four new global projects focused on supporting USAID in meeting the U.S. President's Emergency Plan for AIDS Relief (PEPFAR) target of ensuring 70% of its funding is awarded to local prime partners by COP 2020, while also accelerating progress toward epidemic control and achieving PEPFAR's 95-95-95 goals.

ASAP rapidly prepares local partners, and in some cases national government entities, to serve as prime partners for USAID/PEPFAR programming in compliance with USAID and PEPFAR procedures for PEPFAR program implementation in FY20 and FY21, including by strengthening their capabilities and resources. ASAP focuses on the 23 PEPFAR long-term strategy support countries and 28 Strategic and Technical Alignment for Results (STAR) countries in sub-Saharan Africa.

ASAP has two strategic objectives:
1. Strengthen local partners as they transition to receive PEPFAR funding as USAID prime partners to comply with regulations
2. Prepare local partners to directly manage, implement, and monitor PEPFAR programs, and maintain consistent PEPFAR program achievement and quality

The ASAP consortium is led by IntraHealth International and includes Pact, DAI, Foundation for Professional Development (FPD), Global Communities and U.S. small business Ona Systems, Inc.

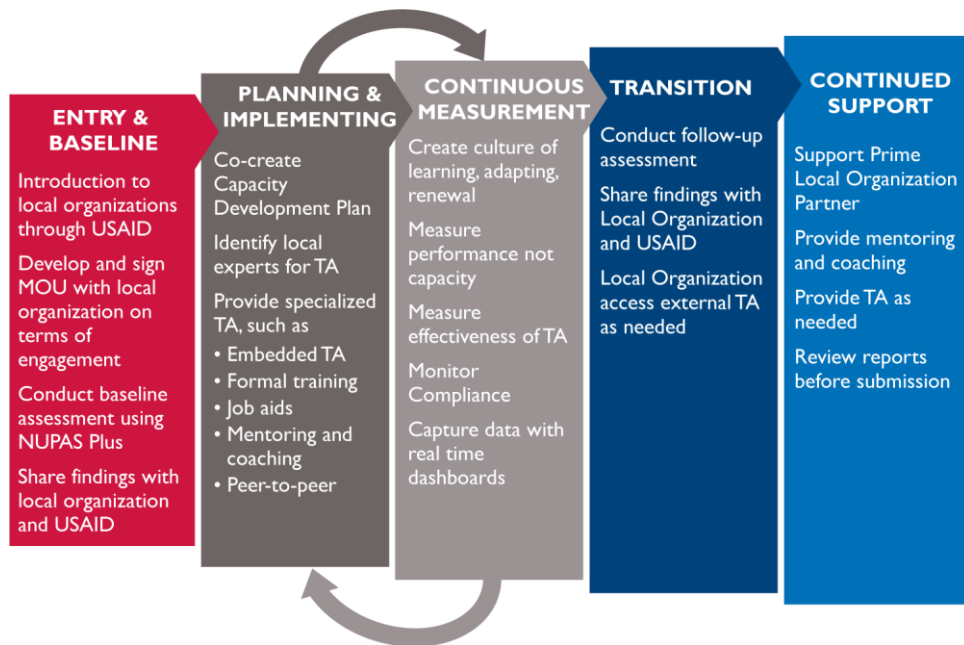CONSORTIUM PRESENCE IN SUB-SAHARAN AFRICA
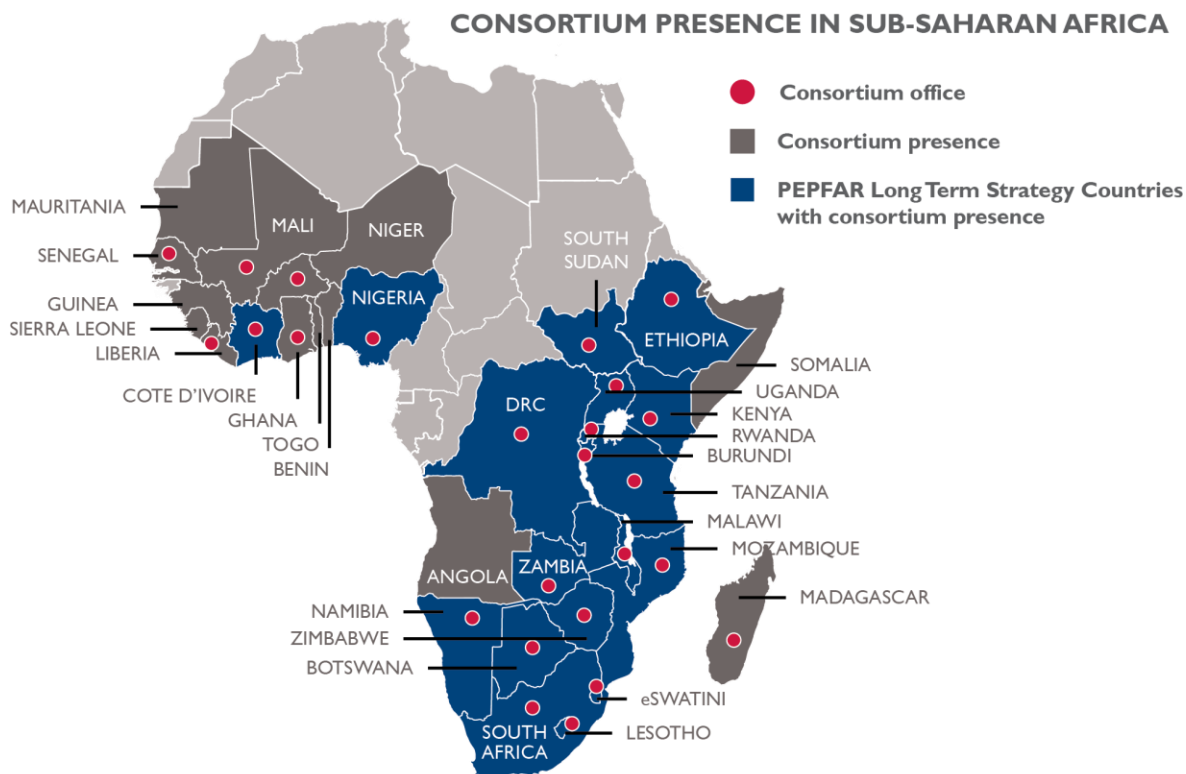
ASAP TECHNICAL APPROACH

PURPOSE

The purpose of the ASAP Technical Approach and Toolkit is to provide a common language and implementation process for assessing a local partner's capacity and providing management, implementation and monitoring technical assistance (TA) for sustained improvements.

THEORY OF CHANGE

The development hypothesis is *if* ASAP provides focused capacity-building activities to select local partners in financial management and compliance; audit readiness; NUPAS (Non-US Pre-Award Survey) readiness; sub-award and grants management; human resources (HR); business development/sustainability; program management and monitoring and evaluation (M&E) systems; and the use of HIV/AIDS strategic information for performance management, *then* local organizations will be able to successfully implement prime USAID awards. **ASAP's focus will be on award management as an entry point to organizational development.** ASAP will not focus on technical capacity which is also a key component.

ENTRY & BASELINE	PLANNING & IMPLEMENTING	CONTINUOUS MEASUREMENT	TRANSITION	CONTINUED SUPPORT
Introduction to local organizations through USAID	Co-create Capacity Development Plan	Create culture of learning, adapting, renewal	Conduct follow-up assessment	Support Prime Local Organization Partner
Develop and sign MOU with local organization on terms of engagement	Identify local experts for TA	Measure performance not capacity	Share findings with Local Organization and USAID	Provide mentoring and coaching
Conduct baseline assessment using NUPAS Plus	Provide specialized TA, such as • Embedded TA • Formal training • Job aids • Mentoring and coaching • Peer-to-peer	Measure effectiveness of TA	Local Organization access external TA as needed	Provide TA as needed
Share findings with local organization and USAID		Monitor Compliance		Review reports before submission
		Capture data with real time dashboards		

ASAP PROCESS

Each USAID mission and local organization are unique and will have specific needs which ASAP will accommodate within the confines of the award. However, most countries and missions will follow the process below.

STEP 1: ENTRY

WORK ORDER DISCUSSIONS

The work order discussion and engagement step will serve three purposes: (1) determining the work to be done, (2) building tripartite relationships among ASAP, local partner(s), and USAID, and (3) establishing shared expectations. The ASAP contract works under the direction of USAID. USAID/Washington communicates with the USAID missions about ASAP services and reaches agreement on a potential scope of work (SOW). The country-level mission makes the decision on the buy-in. ASAP leadership works with the mission to finalize the SOW with deliverables and a timeframe. After the SOW is approved and mission concurrence is received (if applicable), the ASAP team (consortium members, service providers and consultants) will arrive in the country.

BUILDING RELATIONSHIPS

Upon arrival, the ASAP team will focus on planning and sequencing activities and relationship building. ASAP will clarify expectations in the early stages of the relationship to set the stage for successful collaboration.

The following process should be used to develop a trusting and productive relationship:

1. Organize the in-brief meeting with the mission to review SOW, deliverables, context, guidance and process.
2. Organize an introductory meeting with the local partner, preferably accompanied by the USAID AOR/COR and other representatives at the local partner's office.
3. Learn about the local partner's background from its leadership and senior managers, share information with them about ASAP, introduce the team members who will be working with the local partner, and get to know the local partner team.
4. Facilitate a discussion between ASAP and the local partner on terms of engagement and draft a memorandum of understanding (MOU). See Annex 1. The purpose of the MOU is to set basic shared expectations of the two parties about how they will work together. The results of the discussion are to be included in the MOU under Article 2 "Purpose" and Article 3 "Intention of the Parties." The MOU will be signed by the local partner and ASAP.

   Examples for the section "Purpose" are:
   a. A start-up phase will include developing relationships with key personnel and team members to build respect and trust.
   b. ASAP will conduct and/or use assessments to understand the current state of the organizational systems needed to achieve the local partner's goals. ASAP will share assessment reports with the local partner and USAID.
   c. During the assessment phase and for the duration of this agreement, the ASAP team will request information on the local partner's finances, financial compliance, human resources, performance management, monitoring systems and reports, and the local

partner will provide such requested information in a timely manner (i.e., less than 24 hours).

    d.   ASAP requests office space, an internet connection, printing and scanning.

    e.   ASAP will provide feedback through weekly meetings between the local partner and ASAP team.

Examples for the section "Intention of the Parties" include:

    f.   ASAP will be responsible for a baseline assessment, capacity development plan, technical assistance and final assessment, as permitted with funding from USAID.

5.   Sign the MOU between ASAP and the local partner.

STEP 2: BASELINE

DOCUMENT REVIEW

The ASAP team will request and review key organizational documents prior to and during the assessments. The list of documents needed is included in Annex 2. The document review is an important first step of the assessment as it frames the focus of staff interviews and can reduce the time needed for interviews if policies and procedures are well documented. When available, ASAP will review previous assessments and NUPAS results and determine whether an assessment is needed or if deeper analysis in certain domains is required.

ASSESSMENT

The baseline assessment identifies the capacity development needs of the local partner. ASAP will use the assessments to help ASAP and the local partner understand the current state of the systems, policies, procedures and governance needed to manage and comply with USAID awards. The assessment process, which will include staff interviews following a document review, will advance the relationship between the local partner and the ASAP team. ASAP will use the NUPAS and NUPAS Plus tools for the assessment.

NON-US PRE-AWARD SURVEY (NUPAS) AND NUPAS PLUS FOR LOCAL PARTNERS

Non-U.S. Organization Pre-Award Survey (NUPAS) is USAID's assessment tool that provides the agency with information needed to evaluate the ability of local partners to adequately fulfill the terms of an award. (ADS 303) The results are used to determine whether special conditions may be required within the final award document. USAID usually administers a NUPAS, but they can delegate the responsibility to ASAP.

For USAID, the NUPAS has three main objectives:

- To determine whether an organization has sufficient financial and managerial capacity to manage USAID funds in accordance with U.S. Government and USAID requirements;
- To determine the most appropriate method of financing to use under the potential USAID award; and
- To determine the degree of support and oversight necessary to ensure proper accountability of funds provided to the organization.

The NUPAS focuses on six domains:

- Legal Structure
- Financial Management and Internal Control Systems
- Procurement Systems

- Human Resources Systems
- Project Performance Management
- Organizational Sustainability

Each domain has numerous questions which are scored on a scale of 1-4:

Inadequate (Scoring 1)	Significant control weaknesses could expose the organization to financial or other loss or otherwise significantly impair its ability to manage USAID funds. (Key deficiencies and significant weaknesses that are not remediable before the award or are high risk).
Weak (Scoring 2)	Significant control weaknesses could expose the organization to unacceptable/inadequate levels of unmanageable risk. (Some deficiencies and significant weaknesses that are not easily remediable before the award or are moderate to high risk.)
Adequate (Scoring 3)	Although a control weakness was noted, compensating controls and other factors exist to reduce the residual risk within the organization to acceptable levels. (No deficiencies, significant weaknesses are remediable before the award or are low to moderate risk.)
Strong (Scoring 4)	Overall, a strong control framework is in place given the inherent business risks. Some improvements may be recommended to routine detailed control activities. (No deficiencies or significant weakness or low risk.)

Overall score per criterion

Once each item is scored, an average for the criterion is calculated and the range for reporting are such:

Score Range	Description
1 – 1.5	Inadequate
1.51 – 2.5	Weak
2.51 – 3.5	Adequate
3.51 - 4	Strong

The NUPAS Plus, developed by ASAP, identifies the root cause of deficiencies and significant weaknesses and additional domains related to award management. The NUPAS Plus includes the following domains:
1. Mandatory Provision
2. Required as Applicable Standard Provisions
3. Board of Directors
4. Finances
5. Procurement Logistics
6. Human Resources
7. Gender Equity
8. Monitoring and Evaluation
9. Information Technology
10. Audit Compliance
11. Business Development
12. Property Management
13. Environmental Compliance

A NUPAS Plus narrative assessment report is approximately **10 to 20 pages** and will have the following sections:

I.   **Executive Summary** – An overview of the outcomes of the NUPAS Plus assessment
II. **Findings** per criterion – Each criterion covered in the report and specific areas for improvement
III. **Summary** – NUPAS Plus scores in a color-coded table
IV. **Conclusion** – Summary of recommendations
V.   **Annex** – Assessment score (completed Excel worksheet)

STEP 3: PLANNING

The Capacity Development Plan (CDP) is the document that will aggregate all the activities that have been agreed upon to address gaps identified through NUPAS and NUPAS Plus assessments. The CDP includes the following information:

1. **Capacity Area**
   This is the criterion or assessment area of focus. It will be pre-populated.
2. **Capacity Gap**
   This is the prioritized finding or result of the assessment. It will be written in full to avoid ambiguity. For example, a gap written in short "HR policy" needs more information to fully communicate the gap, such as "The program does not have a written HR policy" or "The current HR policy does not provide for staff time sheet/time tracking or staff salary increments."
3. **Key Intervention**
   This is the main action that will be guided by ASAP's interventions and will incorporate targeted beneficiaries.
4. **Sub-Intervention(s)**
   This is the sub-action if the key intervention is too broad or needs a clear process. These will break key interventions into manageable sections.
5. **Expected Results**
   This is the expected change. In skills transfer/learning, expected change is a knowledge, skill and/or attitude.
6. **ASAP Indicator**
   This will be pre-populated to correspond to a capacity area.
7. **Timeline**
   This is a specific timeframe within which the action will be completed. This is organized in USAID's Fiscal Year quarters and broken down into weeks.
8. **Responsibility**
   A specific person within the ASAP team who is responsible for an action and the corresponding staff member within the local partner organization who champions it.
9. **Status Report**
   This will be updated as soon as activities are implemented and checked monthly (or as frequently as needed) by ASAP leadership, depending on the organization and support timeframe.

STEP 4: IMPLEMENTATION

ASAP's focus will be on award management as an entry point to organizational development. The ASAP team will recommend capacity development interventions that serve the

immediate purpose of enabling the organization to manage the USAID award while having the long-term effect of strengthening the organization. The following are illustrative interventions:

Financial Management
    i.   ASAP will strengthen financial management and internal control, checks & balances, and other risk mitigation systems (e.g., ensuring local organizations have bank accounts, bookkeeping systems, DUNS number, financial statements, standardized accounting cycles and standardized financial reporting).
    ii.   ASAP will ensure local partners demonstrate the ability to manage funding responsibly and efficiently, with capacity to meet USG program and financial reporting requirements.
    iii.   ASAP will help local partners establish financial planning processes and develop risk mitigation strategies.
    iv.   ASAP will ensure local partners have the capacity to comply with PEPFAR financial management systems, including expenditure reporting, management of outlays and timely outlay of COP fund.

Financial Compliance
    i.   ASAP will assist local partners in ensuring they show an active status on System for Award Management (SAM) website, no exclusions on Office of Foreign Assets Control (OFAC) website, and no exclusions on United Nations (UN) Sanctions List.
    ii.   ASAP will assist local partners in demonstrating compliance with U.S. Standard Provisions for Non-U.S. NGOs:
https://www.usaid.gov/sites/default/files/documents/1868/591maa_new.pdf

Audit Readiness
    i.   ASAP will provide TA to local partners to help selected organizations complete annual audit requirements for Non-U.S. NGOs as outlined in OIG guidance on Audits for Foreign Recipients Standard Provisions for Non-US NGOs (Section M2):
https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf

NUPAS (Non-U.S. Pre-Award Survey) Readiness
    i.   ASAP will conduct a NUPAS and NUPAS Plus assessment and the USAID mission can decide whether to accept the recommendations.
    ii.   If deficiencies are found in any of the six criteria mentioned above and a 'Special Award Condition (SAC)' is prescribed by the Agreement Officer (AO) to the local organization, ASAP will provide TA to assist with fulfilling the requirements of the specified award conditions.
    iii.   For local partners who are already receiving USG funds directly, ASAP will provide additional TA to support expansion of their scopes of work and size of awards. ASAP TA for these organizations will focus on improving specific aspects of their financial capacity, such as procurement and subawards, project management and absorptive capacity.

Sub-Award and Grants Management
    i.   ASAP will provide TA to support local partners in their role as grants managers and consortia leads. Assistance in this area will cover cradle-to-grave subaward management and might include: training in subaward management, developing and finalizing a solicitation, contract negotiation, development of templates with flow-down provisions and monitoring.

Human Resources (HR)

i. ASAP will provide TA to develop organizational HR processes, including position descriptions, hiring/recruitment plans, employment policies, staff retention and dismissal policies, remuneration/payroll and benefits, worker performance/evaluation and career development incentives and opportunities.

ii. ASAP may second consultants/staff to local partners to address identified deficiencies in multiple areas including: program or technical management, financial oversight and reporting, M&E or other areas as needed.

Business Development/Sustainability

ASAP will provide TA to local partners in the development of business strategies, including:

i. Stakeholder/donor networking and relationship building.

ii. Grant and proposal writing.

Strengthen Program Management and M&E Systems

ASAP will provide TA as needed in the following areas:

i. Training on USAID and PEPFAR reporting requirements.

ii. Development of M&E plan, including the development of project specific strategic objectives, results frameworks, and outcomes and intermediate results. The development of a M&E plan should also include risk mitigation plans if targets are not achieved.

iii. Submission of annual PEPFAR workplans and other documents, including routine narrative-based and financial quarterly reports.

iv. Development of successful communication practices and norms between the local partner and its USAID Agreement Officer Representative (AOR) or Contracting Officer Representative (COR), including submission of required reports and regular updates on project performance.

v. Development of data analysis plan for program improvement that shows project performance as well as any implementation challenges for corrective action, performance improvement and scale up of successful interventions.

vi. Development of robust M&E systems to ensure high quality project-specific data can be collected, quantified, stored and verified in compliance with both USAID and PEPFAR reporting requirements.

vii. Strengthen the capacity of local partners to recruit, hire and remunerate human resources for health (HRH) staffing support required for HIV programs.

viii. Ability to develop and implement corrective action plans.

ix. Development of M&E systems and norms of communication with USAID.

x. Complete reporting on progress towards PEPFAR targets and achievements, such as COP targets.

HIV/AIDS Strategic Information for Performance Management

ASAP will provide support as needed in the following areas

i. Proficiency in reporting into PEPFAR data systems including Data for Accountability, Transparency, and Impact Monitoring (DATIM), Monitoring, Evaluation, and Reporting (MER) and Site Improvement through Monitoring System (SIMS) systems.

ii. Appropriate collection, verification, analysis, storage and reporting of PEPFAR relevant data. This will include the development of Performance Indicator Reference Sheet (PIRS), data-quality assessment (DQA) processes, or data visualizations.

iii. Developing processes which involve using M&E and strategic information to implement and manage PEPFAR programs, including using data to optimize resources and programs and course correct programming as needed.

    iv. Ensuring proper reporting of PEPFAR data into the national and sub-national health information systems (if applicable).

    v. Setting appropriate targets for project related indicators.

ASAP has developed a large database of pre-approved short-term technical assistance (STTA), including consortium members and local consultants ready to be deployed to local organizations. USAID and the local organization will have the opportunity to review and approve STTA providers.

ASAP Technical Assistance methods including the following:

- **Embedded TA** - Embedded TA for on-the-job training, progress monitoring, ongoing mentoring and specific tasks. Clear priorities and measurable benchmarks related to knowledge and skills transfer to avoid risk of dependence. Could range from 2-12 months.
- **Transitional TA** - Local TA hired by ASAP that will transition to local partner staff once TA demonstrates competence and funds are available.
- **Blended Learning** - Existing on-line learning modules supplemented with on-site mentoring.
- **On-Line Coaching** - Remote mentoring and/or coaching, making use of the organization's lived challenges for adult learning.
- **Mentoring** - In-person mentoring using experiential learning based in real-world environments. Uses identified on-the-job needs to apply knowledge and skills.
- **Communities of Practice** - ASAP will utilize a community of practice approach for peer-to-peer learning to enhance collective learning among local partner organizations on specific common topics and promote the idea of a "learning organization." ASAP will promote online (virtual) communities of practice across the program and provide opportunities for face-to-face engagement/meetings at the country level. Country-level meetings will be tied to face-to-face training opportunities.
- **Guidelines and Job Aids** - TA to co-develop or provide documented guidance for completing tasks.

ASAP TRAINING OPPORTUNITIES

Managing USAID Cooperative Agreements
1. CFR 200: Financial & Program Management
2. Cost Share
3. Property Standards
4. Procurement Standards
5. Recording, Record Retention
6. Closeout
7. Marking
8. Agreement Package - Letter and Schedule, Standard Provisions, Source & Nationality, including Restricted Goods, Audits

Financial Management for USAID Awards
1. Strengthen financial management and internal control systems (e.g., ensuring local organizations have bank accounts, bookkeeping systems, DUNS number, financial statements, standardized accounting cycles, and standardized financial reporting).
2. Ensure local partners demonstrate the ability to manage funding responsibly and efficiently with capacity to meet USG program and financial reporting requirements.
3. Help local partners establish financial planning processes and develop risk mitigation strategies.

Subaward Management from Cradle to Grave
1. Planning for subawards
2. Acceptance of risk
3. Objectives of subawards
4. Competition for subawards
5. Required vetting
6. Selection of subrecipients
7. Selection subaward type:
    a. Sub-agreements/subgrants
    b. Fixed amount subawards
    c. Contracts/subcontracts
    d. Purchase orders
8. Contents of subaward package
9. Subaward proposals and budgets
10. Pre-award assessments
11. Managing risk
    a. High-risk recipients
    b. Medium-risk recipients
    c. Low-risk recipients
12. USAID approvals for subawards
13. Flow downs
14. Collaborative relationships with subrecipients
15. Donor's requirements
16. Prime recipients' requirements
17. Authorizations
18. Checklists
19. Capacity building
20. Project implementation
21. Financial management
22. Required financial reporting
23. Disallowed costs
24. Procurement
25. Documentation
26. Effective oversight and monitoring
27. Subaward close-out

Fighting Fraud
1. Build capacity to fight fraud
2. Identifying areas of high fraud risk
3. Designing projects to mitigate fraud
4. Fraud prevention procedures and controls
5. Tell-tale signs of fraud
6. Setting up a 'Speaking Up' service

Monitoring and Evaluation Short Course
1. Basic M&E for four days
2. PEPFAR M&E and project management for four days

Monitoring and Evaluation- Accredited Short Course
3. Basic M&E for four days
4. PEPFAR M&E and project management for four days

Higher Certificate in Management – Accredited Distance Learning
1. Self-management
2. Presenting Yourself
3. Leadership that gets results
4. Supervision
5. Strength in teamwork
6. Introduction to diversity management
7. Introduction to relationship management
8. Introduction to human resource management
9. Introduction to Operations Management
10. Introduction to Project Management
11. Introduction to Financial Management
12. Introduction to Markets and Marketing
13. Introduction to Customer Service and Client Satisfaction
14. Thriving and Surviving change
15. Knowledge Management

Strategic Planning – 1 day + Self Study
1. Define strategic planning
2. Understand the role of strategic planning
3. Understand the role of project management
4. Discuss successful strategic planning activities.

Introduction to Project Management
1. The different phases of the project cycle.
2. Use various project-planning tools.
3. The challenges of project management.
4. Insight into project management
5. The realities of working with various stakeholders.
6. Evaluate your personal effectiveness for the upcoming project.

Advanced Project Management
1. Understanding of the strategic approach to project selection and management.
2. Confidence in applying project management principles on the job.
3. Able to follow a structured approach- based on the nine PMBOK knowledge areas- towards planning and controlling projects.
4. Understanding the flow of knowledge and the significance of effective knowledge management.
5. Understanding of and the ability to apply project management processes within a systems thinking framework.
6. Ability and confidence to manage projects in a multi-project environment.
7. Awareness of the significance of team building and benefits of managing individual project members and project teams.
8. Understanding and the ability to apply the stakeholder management process.
9. Understanding dynamics of Not-Profit Organization and Public Private Partnership projects.

10. Delegates develop project plan, based on a project which relates to their current job function;
11. Delegates are provided with specific scenarios at a given point later during the project, describing a few typical project challenges. The learner now has to describe how they will act on these challenges aiming to resolve problems in the best interest of the project within control processes.

Webinars

ASAP will conduct live webinars which will be recorded. Illustrative topics are:
1. NUPAS Plus assessment tool
2. ASAP's technical Assistance & organizational development
3. Understanding USAID cooperative agreement award
4. Systems needed for financial management and compliance of USAID awards
5. Cost share
6. Fighting fraud in NGOs – stories from compliance officers
   a. Procurement
   b. Conflict of Interest
7. Audits from an auditor's perspective
8. Human resource management in an era of rapid growth
9. Supportive supervision for improved performance/results
10. Creating an umbrella grants management program
11. Managing subawards
12. Whistleblower program
13. Data quality analysis in practice
14. Granular monitoring and reporting as per PEPFAR requirements
15. Sustainability planning/developing business strategy
16. Leadership and accountability
17. Influencing change/leading change
18. Government to government - Lessons learned in capacity building

STEP 5: CONTINOUS MEASUREMENT

ASAP will create a culture of learning, adapting and renewal, including fostering self-assessments using the NUPAS Plus assessment tool and measuring the quality of TA provided by seeking formal feedback and monitoring compliance. In addition, ASAP will monitor the progress of local organizations by using the benchmarks listed in the Capacity Development Plan and the indicators in the AMELP; which are the following.

SO1: Strengthen local partners as they transition to receive PEPFAR funding as a USAID prime partner to comply with regulations	
Percent of local organizations complying with ASAP partner agreement on operational expectations	**Numerator:** Number of local organizations receiving ASAP support and complying with all standards in agreement (agree to receive TA, send financial reports and progress reports to ASAP for review, etc.) **Denominator:** Total number of local organizations receiving ASAP support
Percent of local organizations with personnel	**Numerator:** Number of local organizations receiving ASAP support with key personnel and high-level staff assessed as having core competencies for position **Denominator:** Total number of local organizations receiving ASAP support

having the required competencies for their area.	
Percent of organizations hiring new staff in a timely manner with increased funding	**Numerator:** Total number of new staff hired with increased funding within 4 months of receiving funding **Denominator:** Total number of local organizations receiving increased funding from USAID in 12-month period
Percent of organizations with staff attrition	**Numerator:** Total number of staff leaving organizations **Denominator:** Total number of local organizations receiving increased funding from USAID
Percentage of local organizations complying with USG rules and regulations	**Numerator**: Number of local organizations demonstrating compliance with CFR 200 and other USG rules and regulations **Denominator:** Total number of local organizations receiving ASAP support
Percentage of local organizations with improved legal structures.	**Numerator:** Number of local organizations with the average score for Legal Structure component (5 criteria) in the NUPAS improves to or maintains score of 3 (adequate capacity) or higher out of 4 **Denominator**: Total number of local organizations receiving ASAP support
Percentage of local organizations with improved financial management and internal controls systems	**Numerator**: Number of local organizations with the average score in Financial Management and Internal Controls Systems component (13 criteria) in the NUPAS improves to or maintains score of 3 (adequate capacity) or higher out of 4 **Denominator**: Total number of local organizations receiving ASAP support
Percentage of local organizations with improved procurement systems	**Numerator:** Number of local organizations with the average score in Procurement Systems component (3 criteria) in the NUPAS improves to or maintains score of 3 adequate capacity" or higher out of 4 **Denominator:** Total number of local organizations receiving ASAP support
Percentage of local organizations with improved human resources systems	**Numerator:** Number of local organizations with the average score in Human Resource Systems component (4 criteria) in the NUPAS improves to or maintains score of 3 (adequate capacity) or higher out of 4 **Denominator:** Total number of local organizations receiving ASAP support
Percentage of local organizations with improved project management capacity	**Numerator:** Number of local organizations with the average score in Project Management Capacity component (1 criterion) in the NUPAS improves to or maintains score of 3 (adequate capacity) or higher out of 4 **Denominator:** Total number of local organizations receiving ASAP support
Percentage of local organizations with improved organizational sustainability	**Numerator:** Number of local organizations with the average score in Organizational Sustainability component (2 criteria) in the NUPAS improves to or maintains 3 (adequate capacity) or higher out of 4 **Denominator:** Total number of local organizations receiving ASAP support
Percentage of local organizations with improved financial management	Capacity Development Plans could include: • Budget aligned with USAID workplan • Financial manual

compliance in accordance with transition plan	• Accounting journals • Computerized accounting system • Chart of accounts • Payment vouchers • Up-to-date financial files • Documented financial controls • Mitigating financial risk • Staff training • Internal auditing • Financial reporting • Cost share • Expenditure Analysis
# of local organizations with sufficiently improved human resource management	Capacity Development Plans could include: • Personnel policies • JDs for each position • Formal staffing plan • Skilled staff in all positions • Recruitment guidelines • Salary structure • Supervision • Performance management • Pay increases • Consistent orientation • Turnover • Exit interviews
% of local organizations with improved compliance demonstrated in audit findings	Capacity Development Plans could include: • Audit management system • Compliance with donor audit requirements • Shared audit findings with board and USAID
% of local organizations sufficiently improved in sustainability/business development	Capacity Development Plans could include: • Business plan • Identified resource providers • Stakeholder analysis • Proposal development/submission • Sufficient funds to support BD
% of local organizations sufficiently improved in grants management	Capacity Development Plans could include: • Grant management policies and procedures • Procurement process • Formal subgrants with Organizations • Regular supervisory visits to assess financial records and implementation

SO 2: Prepare Local Partners to directly manage, implement, and monitor PEPFAR programs, and maintain consistent PEPFAR program achievement and quality

Percent of local organizations with improved M&E leadership competency	**Numerator:** Number of local organizations with the average score for M&E Leadership Competency in the MECAT improves to or maintains score of 2.5 or higher **Denominator**: Total number of local organizations receiving ASAP support
Percent of local organizations with improved data collection and data management competency	**Numerator:** Number of local organizations with the average score for Data Collection and Data Management Competency in the MECAT improves to or maintains score of 3 or higher (out of 5) **Denominator**: Total number of local organizations receiving ASAP support
Percent of local organizations with improved general management competency in M&E	**Numerator:** Number of local organizations with the average score for General Management Competency in the MECAT improves to or maintains score of 3 or higher (out of 5) **Denominator**: Total number of local organizations receiving ASAP support
Percent of local organizations with improved data analysis, dissemination and use competency	**Numerator:** Number of local organizations with the average score for Data Analysis, Dissemination and Use Competency in the MECAT improves to or maintains score of 3 or higher (out of 5) **Denominator**: Total number of local organizations receiving ASAP support
Percent of local organizations reviewing weekly data and making course corrections	**Numerator:** Number of local organizations submitting weekly data and documenting course corrections **Denominator:** Total number of local organizations receiving ASAP support
Percent of local organizations conducting data quality assessments	**Numerator:** Number of local organizations conducting internal DQAs in the past 12 months **Denominator**: Total number of local organizations receiving ASAP support
Percent of local organizations integrating routine utilization of SIMS data in performance management	**Numerator:** Number of Local Organizations conducting Site Improvement Through Monitoring (SIMS) **Denominator:** Total number of local organizations receiving ASAP support
Percent of local organizations with complete PIRS	**Numerator:** Number of local organizations completing a Performance Indicator Reference Sheet (PIRS) for all performance indicators **Denominator:** Total number of local organizations receiving ASAP support

STEP 6: TRANSITION

A facilitator will conduct a follow-up NUPAS Plus assessment to review the impact of interventions after a set period of implementation specific to each organization. The follow-up NUPAS Plus assessment will focus on areas that scored 3.5 or less (from light green to red), to ascertain that they have improved to 3.5 and above. ASAP will share the with USAID and the local organization to inform decision-making. This step (Transition) will be viewed in two way. In the cases where local partner organizations are not prime USAID partners, they will transition to receive a prime award. In cases where they are already prime partners, the transition will mean larger funding.

STEP 7: CONTINUED SUPPORT

The prime local organization will become ASAP's alumnus and can continue to access ASAP's TA through the pre-approved database of consultants in country, receive mentoring and coaching as needed and participate in peer learning activities, including communities of practice. ASAP will continue to be available to review reports before submission.

ANNEX 1: MEMORANDUM OF UNDERSTANDING

The following is an example of a generic template for Memorandums of Understanding (MOU). Please note that sections may need to be added/removed depending on the nature of the agreement and the parties involved. Duties and responsibilities of each party should be clearly defined. Please state what is to be done or what is expected in plain, simple language. A third party with no other knowledge of the project should be able to easily read and understand the MOU.

MEMORANDUM OF UNDERSTANDING

BETWEEN

INTRAHEALTH INTERNATIONAL, INC.

AND

[*ENTER PARTNER NAME*]

This Memorandum of Understanding ("MOU") constitutes an agreement between IntraHealth International, Inc., located at [*enter address*] and [*Partner Name*], located at [*enter address*] hereinafter referred to each as a "Party" and collectively, "Parties" have agreed to the following:

Article 1: **Preamble/Introduction**
This Memorandum of Understanding (MOU) sets forth the terms and understanding between the Parties regarding activities related to *[name of project, activity, initiative]*. The intent of this partnership is to [*provide background info. as necessary and summarize intent here*] as set forth in Article 3 below.

Article 2: Purpose
The purpose of this MOU is to *[describe, in as few words as possible, the purpose, goals, objectives, what the parties intend to do or how they intend to collaborate. For example:*

- *describe the general terms under which the two Parties will_____ or;*
- *provide a framework for cooperation and coordination between the parties concerning _____or;*
- *facilitate and strengthen _____ through enhanced collaboration between____or;*
- *further common objectives of the Parties by _____or;*
- *establish the basic guidelines and expectations of the two Parties by which they will____]*

- *express the Parties intent to cooperate regarding [XXX]. The Parties expect the cooperation provided for in this MOU to promote [public health or other] and help ensure [XXX] in accordance with relevant [global] standards.*

Article 3: **Intention of the Parties**
The Parties intend to collaborate by [*Describe in detail the activities or services that the Parties will provide, responsibilities of each party, expectations and/or the methods of cooperation or collaboration here. If necessary, you may add this as a separate attachment to the agreement. If including these details as an attachment, please include this phrase, "as* set forth in EXHIBIT 1**,** and hereby incorporated by reference into this MOU."]

Include each party's roles and responsibilities under this MOU

[Party A] shall be responsible for: [use terms like develop, deliver, share, support, promote, provide, etc.]

[Party B] shall be responsible for:

Article 4: **Period/Duration**
This MOU shall begin on [*month day*, 20XX] and end [*month day*, 20XX]. The agreement may be extended upon mutual agreement of the parties, unless either Party gives a [XX] day notice of intent to withdraw and terminate the MOU. *[Note: The agreement usually coincides with the term of the project or related award(s)].*

Article 5: **Financial Understanding & Relation of the Parties**
This MOU shall not pertain to any other unrelated activities undertaken by the Parties, either jointly or independently. The Parties agree that this MOU represents their intention in relation to the project and activities described herein and does not in any way legally or financially obligate either Party to make payments to the other. This MOU does not create a partnership or a joint venture, and neither Party has the authority to bind the other.

Article 6: Intellectual Property *[if Applicable]*
No rights of any kind whatsoever in any invention, copyright, trade secret, or any other form of intellectual property (collectively defined as "IP") are granted or transferred under this MOU. Any IP exchanged pursuant to this MOU shall be governed by the terms of a separate written agreement. Unless specifically acknowledged in writing by all parties, all IP provided by the Parties as part of this MOU shall remain the property of each Party.

Article 7: **Publications** *[if Applicable]*
The release of data related to this agreement for public use prior, during and after the execution of this agreement is subject to approval by both parties.

Article 8: **Disputes**
The Parties shall attempt in good faith to resolve any dispute, controversy, or claim relating to this Memorandum by negotiation. If the Parties are unable to resolve the dispute by negotiation, they may endeavor to resolve the dispute by mediation. The parties shall attempt to agree upon

the appointment of a mediator and the location of mediation, upon receipt, by either of them, of a written notice to concur in such appointment.

Article 9: **Force Majeure**
Any delays in or failure of either Party shall not constitute default or give any claim for damages if, and to the extent caused by or resulting from acts of God, earthquakes, fires, explosions, flooding, the elements, strikes, lockouts, boycotts, picketing, labor disturbances or differences between workers, acts of the public enemy, war, rebellions, riots, acts of the governments or any cause whatsoever beyond the control of the Party in default, but performance may be resumed with all dispatch as soon as the cause preventing performance has been removed.

Article 10: **Notices**
Any notice given by either Party to this MOU shall be sufficient only if in writing and delivered to the representatives of each Party.

Article 11: **Modifications**
This MOU can be modified at any time by mutual consent of the Parties hereto. Any modification hereto shall be in writing and signed by the duly authorized representatives of the Parties.

Article 12: Indemnification
The Parties agree that nothing in the performance of this MOU shall be actionable in a court of law and that each Party shall indemnify and hold each other harmless from any loss, damage liability, claims, demands, suits, or judgments including any reasonable attorney's fees, and costs, as a result of any damage or injury to either Party or its employees, or agents, or properties, or for any injury to third persons or their property which is directly caused by the negligence, willful misconduct, or violation or statutory duties of either Party, or its employees or agents, in the course of any work specified in this MOU.

Article 13: Termination
This MOU may be terminated by either Party by issuing a Notice of Termination with [XX] days written notice which includes reasons for the termination.

Article 14: Governing Law
This MOU shall be governed by and construed in accordance with the laws of the State of North Carolina in the United States of America.

Article 15: Compliance with Law
The parties hereto agree to comply with all applicable laws in the performance with their respective obligations hereunder.

Article 16: Confidentiality
The Parties may need to disclose to each other information of a confidential or proprietary nature ("Confidential Information"). Confidential Information includes, but is not limited to, information about a Party's business relationships, technical strategies, budgets, technical or expenditure data collected during the project (including raw data), policies, and other

information about a Party or its operations not generally known outside that Party's organization. Confidential Information will be clearly identified as such at the time of disclosure; however, all Parties shall take reasonable efforts to protect all information shared, whether or not it has been marked confidential.

Article 17: Severability
In the event that any one or more provisions of this MOU shall be or become invalid, illegal or unenforceable in any respect, the validity, legality or enforceability of the remaining provisions of this MOU shall not be affected.

Article 18: Assignment
No party hereto may assign or transfer any of its rights or obligations hereunder without the prior written consent of the other parties.

Article 19: Entire Agreement
This MOU contains the entire agreement between the Parties and relates only to the Purpose established above. *Include the following statement if subsequent, related agreements are expected to follow ["With respect to all future projects and or agreements, IntraHealth and [Partner Name] agree to negotiate in good faith and proceed in a timely manner to execute a separate, mutually acceptable agreement which includes any proposed business arrangements, including deliverables, and/or type of contractual mechanism that will be used to acquire services."]*

IN WITNESS WHEREOF, the undersigned being duly authorized by the respective organizations, have signed this MOU.

On behalf of IntraHealth International, Inc.:   On behalf of [*Enter Partner Name*]:

Signature: _____   Signature: _____

Name: _____   Name: _____

Title: _____   Title: _____

Date: _____   Date: _____

ANNEX 2: DOCUMENTS FOR REVIEW

Criterion 1: Legal structure
1. Organization's registration documents (e.g. Deeds of Trust, NPO registration certificate)
2. Board and subcommittee charter(s)/constitution
3. Board members' declarations of interest
4. Environmental compliance certificate (as applicable)
5. Annual report (for the latest financial year)
6. Organizational charter
7. Internal audit charter and plan (where applicable)
8. Current organizational organogram
9. Minutes of board and subcommittee meetings for the previous 12 months (all divisions)
10. Corporate calendar for the previous 12 months
11. Current organizational strategic plan
12. Board and key management succession plan

Criterion 2: Financial Management and Internal Control Systems
1. Accounting and financial management policies and procedure manuals
2. List of bank accounts held with commercial banks (including proof of registration of each account)
3. Bank statements for the past 6 months
4. Proof of bank reconciliations for the past six months (i.e., all supporting documents, such as opening/closing balances as reflected on bank statements and reconciling items. If this represents too much information, only the signed-off reconciliation with supporting documents to be inspected during fieldwork)
5. Chart of accounts
6. Latest master general ledger
7. Fixed assets register
8. Fixed assets reconciliations
9. Proof of insurance on the property and other assets
10. Financial statements (most recently audited)
11. Budget variance reports/monitoring reports (for the past six months)
12. If applicable, proof of transfers between funds
13. List of income-source activities/projects/programs the organization is managing
14. Resumes of accountants/ bookkeepers
15. Payments policy (if not already addressed in the financial management policy)
16. Listing of payments to suppliers for the past four months (a sample will be selected for review)
17. Records management policy
18. Listing of records maintained
19. Source of funding tracker (system to monitor funding and reporting obligations)
20. Funding policy
21. Previous audit reports (internal and external for the previous reporting period)
22. Post-audit management plans
23. Internal audit charter and current year audit plan (if applicable)

Criterion 3: Procurement Systems
1. Procurement policy(ies)
2. Procurement authorization matrix
3. Contracts Register (List of contracts awarded for all applicable thresholds)
4. Training sheets relating to training of procurement officials (if performed)
5. Subaward management policy

6. Purchases listing for the past six (6) months

Criterion 4: Human Resources systems
1. Human resources policies (recruitment and selection; retention; terminations, etc.)
2. Payroll policies
3. Whistleblowing policy
4. Delegations of authority
5. Code of ethics and professional conduct policy (including conflict of interest)
6. Cost policy statement (if applicable/ necessary)
7. Payroll report (on salaries and other related payments) for the past year
8. Compensation plan (if not already included in HR policy)
9. Payroll reconciliation (if performed, payroll to the general ledger) for the past year
10. Employee listing (including positions held)
11. Employee terminations listing (past six (6) months)
12. Employee appointments listing (past 12 months)
13. Current profiles of vacancies
14. Payroll change report (past six (6) months)
15. Payroll and proof of approval of payroll (past six (6) months)
16. Payroll reconciliations (past six (6) months)
17. Employees' training calendar for the organization

Criterion 5: Project Performance Management
1. Project performance manual/results framework
2. Organization's training calendar for the current reporting period
3. Progress project(s) performance reports
4. Previous performance ratings from the donor(s)
5. Beneficiaries' satisfaction survey

Criterion 6: Organizational sustainability
1. Cash flow management policy
2. Age analysis for debtors and creditors
3. Communication strategies
4. External communication materials

NUPAS+ Finances
1. Budgeting and budgetary control business process
2. Current year annual budget (Organizational and project annual budgets)
3. Minutes of board approval of the current year's budget (or any evidence of board approval)
4. Payment listing for the previous six (6) months
5. Cashbook for the previous six (6) months
6. Petty cash general ledger for the past six (6) months (if separate from the cashbook general ledger)

NUPAS + Monitoring and Evaluation
1. Performance monitoring plan or Activity Monitoring Evaluation Learning Plans (AMELP)
2. Performance Indicator Reference Sheets
3. Data quality assessments
4. Progress reports
5. M&E policies and procedures
6. Organization M&E plan for open USAID projects

7. Annual work plan for open USAID projects
8. USAID M&E reports for the previous 12 months
9. Data analysis and presentation guidelines
10. M&E data quality audit reports (previous year)
11. Proof of most recent training on M&E (attendance register, minutes of the training session, certification, etc.)

NUPAS + Mandatory Standards Provision
1. Non-discrimination policy (including disability policy)
2. Management accounts
3. M15 Trafficking in Persons Compliance Plan

NUPAS+ Property Management
1. Assets management policy
2. Inventory listing/minor assets listing

NUPAS+ M&E
1. M&E policies and procedures
2. Organization's M&E plan for open USAID projects
3. Annual work plan for open USAID projects
4. USAID M&E reports for the previous 12 months
5. Data analysis and presentation guidelines
6. M&E data quality audit reports (previous year)
7. Proof of most recent training on M&E (attendance register, minutes of the training session, certification, etc.)

NUPAS+ Information Technology
1. IT Plan
2. IT Charter
3. Information security policy
4. Disaster recovery plan and results of the most recent test run

NUPAS+ Business Development
1. Resource mobilization strategy

NUPAS+ Fraud
1. Fraud risk management strategy/ policy
2. Fraud risk assessment
3. Proof of fraud awareness sessions (e.g., attendance register, session content, etc.)
4. Subrecipient agreements (if any subrecipients exist)

NUPAS+ Environmental Compliance
1. Initial environmental examination
2. Environmental assessment

NUPAS + Gender
1. HR policies

ANNEX 3: USEFUL RESOURCES

RESOURCES ON ASAP TECHNICAL APPROACH

The ASAP Technical Approach has been influenced greatly by the following three resources:

1. **Capacity Development Interventions: A Guide for Program Designers**
    The overarching aim of this resource is to help implementers support capacity development of civil society organizations in any sector to contribute to strengthening local systems and transforming communities. It is a comprehensive resource which covers capacity development in practice, progression from capacity 1.0 to 2.0, the organizational development continuum, capacity development interventions and measurement and learning.

    Download: https://www.ngoconnect.net/sites/default/files/2018-12/SCS%20Global_Capacity%20Development%20Interventions%20Guide_FINAL.pdf

2. **Human and Institutional Capacity Development (HICD)**
    It is stated in ASAP's project contract that technical assistance efforts must be in line with USAID's Capacity 2.0 approach to capacity development. Capacity 2.0 is a best practices model for achieving sustainable capacity development results for the target organization.

    Download: https://usaidlearninglab.org/sites/default/files/resource/files/HICD%20Handbook%202011%20-%2008.pdf

3. **Local Capacity Development Suggested Approaches**
    This USAID resource labeled "Additional Help" describes some important considerations that apply to capacity and should assist staff to more effectively strengthen local capacity, including:
    *   System dependency - Capacity describes how an organization can perform within its context—the system of other actors that an organization affects and is affected by in carrying out its activities.
    *   Complexity - Change is non-linear. Capacity is continually emerging and evolving in complex ways, as individuals within an organization, the organization as a whole, and its context change.
    *   Interrelationships - Capacity derives from the quality and breadth of relationships.
    *   Timeframe - Some capacity development interventions can be conducted in relatively short timescales; however, embedding organizational changes in ways that improve performance takes time.

    Download: https://usaidlearninglab.org/sites/default/files/resource/files/ads_additional_help_lcd_1.13.2017.pdf

RESOURCES ON USG AWARD MANAGEMENT

- **ADS 303 Resources**
Standard Provisions for Non-U.S. Nongovernmental Organizations is a comprehensive document covering all mandatory provisions and required as applicable standards that funded organizations must comply with. The document also contains links to all standard forms required for compliance. It is updated regularly, and service providers must get into the habit of accessing the most current version of the resource.
Download: https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf

- The **Implementation Tips for USAID Partners** is an easy-to-use resource developed to help NGOs managing a U.S. government (USG)-funded project under a Cooperative Agreement. https://www.ngoconnect.net/sites/default/files/resources/CAP%20Implementation%20Tips%20for%20USAID%20Partners.pdf

- The **Essential NGO Guide to Managing Your USAID Award from FHI360** serves as a capacity development resource and a desk refence. It targets program implementors and USAID officials managing the programs. It addresses compliance of standard provisions from a capacity development perspective. The Guide is dated 2012; service providers must search and use the updated forms.
https://www.fhi360.org/sites/default/files/media/documents/EssentialGuide.pdf

- **CFR 200 Resources** (https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

- The **Office of Management and Budget's (OMB) Uniform Guidance** is a "government-wide framework for grants management" which was officially implemented in December 2014 by the Council on Financial Assistance Reform (COFAR - now dissolved). It is an authoritative set of rules and requirements for Federal awards that synthesizes and supersedes guidance from earlier OMB circulars. The Uniform Guidance institutionalizes reforms aimed at reducing the administrative burden on award recipients and, at the same time, guarding against the risk of waste and misuse of Federal funds. Among other things, the OMB's Uniform Guidance does the following:
  - o Eliminate duplicative and conflicting guidance
  - o Increase focus on performance over compliance
  - o Provide consistent and transparent treatment of cost
  - o Limit allowable costs to make the best use of Federal resources
  - o Set standard business processes across the Federal government
  - o Strengthen oversight
  - o Target audit requirements on waste, fraud and abuse
https://www.grants.gov/learn-grants/grant-policies/omb-uniform-guidance-2014.html

- Frequently Asked Questions: The Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards At 2 CFR 200 https://cfo.gov/wp-content/uploads/2017/08/July2017-UniformGuidanceFrequentlyAskedQuestions.pdf

- **2 CFR Part 200, Appendix XI Compliance Supplement, 2017**
The Compliance Supplement identifies important compliance requirements for auditors. In the purpose, it states that "2 CFR part 200, subpart F, describes the non-Federal entity's

responsibilities for managing Federal assistance programs (2 CFR section 200.508) and the auditor's responsibility with respect to the scope of audit (/2 CFR section 200.514). Auditors are required to follow the provisions of 2 CFR part 200, subpart F, and the Supplement". https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A133/2017/Compliance_Supplement_2017.pdf

- **2 CFR 200, Appendix XI Compliance Supplement, 2018**
  "The purpose of the 2018 Compliance Supplement adds, deletes, and modifies prior Supplement sections as usual. However, it is unlike previous annual updates to the Supplement in that it only modifies sections of the 2017 Supplement that needed significant revision. Sections without revisions from the 2017 Supplement were not copied into this 2018 Supplement. Therefore, auditors must to use this 2018 Supplement and the 2017 Supplement together to perform the audit for the periods the 2018 Supplement is effective. This 2018 Supplement is effective for audits of fiscal years beginning after June 30, 2017. The Table of Contents of this 2018 Supplement describes where it adds, deletes, or supersedes sections in the 2017 Supplement. The portions of the 2017 Supplement that were not superseded or deleted, continue to be effective for audits of fiscal years beginning after June 30, 2017. 2 CFR part 200, subpart F, describes the non-Federal entity's responsibilities for managing Federal assistance programs (2 CFR section 200.508) and the auditor's responsibility with respect to the scope of audit (2 CFR section 200.514). Auditors are required to follow the provisions of 2 CFR part 200, subpart F, and the Supplement."
  https://www.whitehouse.gov/wp-content/uploads/2018/05/2018-Compliance-Supplement.pdf

- **Title 22 of the Code of Federal Regulations Part 226**
  Administration of Assistance Awards to U.S. Non-governmental Organizations. USAID's interpretation of the U.S. Office of Management and Budget's administrative rules for grants and cooperative agreements.
  https://www.govinfo.gov/content/pkg/CFR-2013-title22-vol1/pdf/CFR-2013-title22-vol1-part226.pdf

- **Title 2 of the Code of Federal Regulations - Grants and Agreements**
  https://www.ecfr.gov/cgi-bin/text-idx?sid=22b1e270fead9635f6893d7b002ceb7a&c=ecfr&tpl=/ecfrbrowse/Title02/2tab_02.tpl

- **Regulatory Documents and Comments**
  Find, read, and comment on regulatory issues.
  https://www.regulations.gov/

RESOURCES ON FINANCIAL MANAGEMENT

- **Financial Management**
  This resource introduces the key elements of a comprehensive financial management system and ways an NGO can strengthen its capacity in this critical area. It also covers USAID requirements for requesting funds, reporting expenditures, allocating resources and auditing. It provides practical tips on the following topics which are expanded in additional 2 to 3 pager documents on the same topics.
  - Annual Audits Requirements
  - Cost share
  - Pipeline and Burn Rate
  - Requesting USG Funds Using SF-270

- o   Sharing Costs Across Projects vs Shared or Indirect Costs
- o   Understanding Fluctuating Exchange Rates
- o   VAT Reporting

https://www.ngoconnect.net/sites/default/files/resources/Ch%202%20-%20CAP%20Implementation%20Tips%20-%20Financial%20Management.pdf

- **Financial Management Compliance**
  The US Standard provision for Non-US NGOs is a comprehensive document covering all mandatory provisions and required as applicable standards that funded organizations must comply with. The document also contains links to all standard forms required for compliance. It is updated regularly, and service providers must get into the habit of accessing most current version of the resource.
  https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf%20updated%20May%202019

  This resource focuses on financial management of USG funds. It offers ways to put into practice USG cost principles and standard provisions that may apply to an award. It also looks at the essential elements of a procurement system, requirements for travel and environmental assessment under USAID-funded programs, as well as issues related to gifts to or lobbying USG employees.
  - o   Excluded Parties and Terrorism Searches
  - o   Gifts to and Lobbying USG Employees
  - o   Meeting USAID Branding and Marking Requirements
  - o   Procurement Processes and Allowability
  - o   Procurement Restricted and Prohibited Items
  - o   Procurement Solicitation and Selection
  - o   Procurement Source and Vendor Restrictions Geo Codes and Waivers
  - o   Travel Expenses and Reimbursement
  - o   USAID Environmental Requirements
  - o   Vehicle Procurement

  https://www.ngoconnect.net/sites/default/files/resources/Ch%205%20-%20CAP%20Implementation%20Tips%20-%20Compliance.pdf

  The Implementation Tips for USAID Partners is an easy-to-use resource developed to help NGOs managing a U.S. government (USG)-funded project under a Cooperative Agreement.
  https://www.ngoconnect.net/sites/default/files/resources/CAP%20Implementation%20Tips%20for%20USAID%20Partners.pdf

  This Essential Guide from FHI360 serves as a capacity development resource and a desk refence. It targets program implementors and USAID officials managing the programs. It addresses compliance of standard provisions from a capacity development perspective.
  https://www.fhi360.org/sites/default/files/media/documents/EssentialGuide.pdf

- **Audit Readiness**
  The USAID Financial Audit Guide for Foreign Organizations guide is aimed at foreign organizations who are recipients of USAID funds. It provides guidance on compliance standards, auditing multiple awards and sub-recipients, audit costs and timelines and roles and responsibilities, selection of auditors, conducting the actual audits and follow-up on prior audit recommendation and close out of audit.
  https://www.usaid.gov/sites/default/files/documents/1868/591maa_new.pdf

This resource further provides audit report requirements and illustrative reports for various sections with and without qualified opinion. https://static.globalinnovationexchange.org/s3fs-public/asset/document/OIG%20Guidelines%20for%20Financial%20Audits%20Contracted%20by%20Foreign%20Recipients%20-%20February%202009.pdf?a3XK19mYlEZQof6EpHUEy2CWivV1R5c1

- **Non-U.S. Organization Pre-Award Survey (NUPAS) Readiness**
  The Non-U.S. Organization Pre-Award Survey (NUPAS) tool (also see NUPAS Guide) is the Agency's tool for making a responsibility determination of a not-for-profit or for-profit non-U.S. organization that is being considered for a USAID grant. The objectives of the NUPAS are:
    o   To determine whether the organization has enough financial and managerial capacity to manage USAID funds in accordance with U.S. Government and USAID requirements;
    o   Determine the most appropriate method of financing to use under the potential USAID award; and
    o   Determine the degree of support and oversight necessary to ensure proper accountability of funds provided to the organization.

  The scoring of NUPAS is linked to both capacity and risk:
    o   Inadequate capacity / High risk
    o   Weak capacity / Moderate risk
    o   Adequate capacity / Low moderate risk
    o   Strong capacity / Low risk
  https://webcache.googleusercontent.com/search?q=cache:tPZOC_exihYJ:https://www.usaid.gov/sites/default/files/documents/1868/303sama1.docx+&cd=2&hl=en&ct=clnk&gl=us
  https://www.usaid.gov/sites/default/files/documents/1870/NUPAS-Guide-2016-01-19v4.pdf

RESOURCES ON ORGANIZATIONAL CAPACITY

In addition to the 3 resources cited at the beginning of this inventory, the following provide useful insight in strengthening organization capacity.

- **FHI360 Capacity Strengthening Framework**
  In addition to providing technical approach, expected outcomes and examples of capacity development by FHI360 programs, the resource also covers capacity development principles including that of relationship building and partnership.
  https://www.ngoconnect.net/sites/default/files/resources/FHI%20360%20Capacity%20Strengthening%20Framework.pdf

- **Capacity Development Gold Standard Handbook**
  The resource is aimed at supporting country offices and HQ teams in ensuring that consistent language and best practice principles are used in the design, implementation, and evaluation of capacity development (CD) initiatives across projects and country offices. The resource provides step by step guide in capacity development process with lessons learnt of what works and what to be avoided.
  https://www.pactworld.org/Capacity%20Development%20Gold%20Standard%20Handbook

- **FHI360 Organizational Capacity Assessment Tool – Capable Partners Program**
  This resource details capacity development in practices within HIV/AIDS sector. It includes conceptual framework, assessment process and prioritized TA. The resource provides 2

examples of capacity development impact over a period of time. One of the lessons learnt that should be important to ASAP is about commitment of local organizations receiving TA "all CAP partner organizations demonstrated a strong commitment to learning and improving, and were willing to open themselves to external scrutiny, and embrace change". https://www.fhi360.org/sites/default/files/media/documents/Organisational_Capacity_Assessment.pdf

- **The Capable Partners Learning Agenda on Local Partners Capacity Development**
  This resource is a comprehensive report on CAP learning agenda implemented by FHI360 and MSI covering 2 areas:
    o To align what is happening in the world of local organizations more closely with USAID Forward's "Implementation and Procurement Reform" (IPR also called Local Solutions or LS), and specifically with Objective # 2 which states: "strengthen local civil society and private sector capacity to improve aid effectiveness and sustainability by working closely with our implementing partners on capacity building and local grant and contract allocations."
    o To underscore the importance for development effectiveness of country "ownership," increased reliance on "country systems," and "enhanced developing country capacities" tailored to country-specific situations and needs.
  The report details key findings from the learning agenda including understanding CSOs and its context, the state of CSO, capacity development in practice and donor trends. It contains lots of contextualized examples from the country studies. https://usaidlearninglab.org/sites/default/files/resource/files/LA-Complete-Final-Report-to-USAID_2.20.14.pdf

- **USAID Policy Framework: Ending the Need for Foreign Assistance**
  The Policy Framework presents USAID's mission and vision for achieving for ending the need for foreign assistance by partnering with countries along their Journeys to Self-Reliance. The policy framework further states that countries that have increased self-reliance have built human and institutional capacity across the economy, civil society, the government, and the population. https://www.usaid.gov/sites/default/files/documents/1870/WEB_PF_Full_Report_FINAL_10Apr2019.pdf

RESOURCES ON GOVERNMENT TO GOVERNMENT WORK

Public Financial Management Risk Assessment Framework (PFMRAF)
This manual provides an overview of the Public Financial Management Risk Assessment Framework or "PFMRAF". It is USAID's premier risk management tool to identify, mitigate and manage the fiduciary risks encountered when considering Government-to-Government (G2G) assistance. It focuses on fiduciary risks to which USG funds may be exposed to when administered directly by the PFM systems of the individual entities intended to implement G2G funded activities. PFMRAF assessments of individual entities must include all PFM systems that may be used in implementing an individual project.

The PFMRAF is also designed to assess not only the PFM environment of the partner country government, but also governance and public accountability factors, including legal and regulatory matters, as well as political will for non-corrupt, transparent, accountable, and effective governance. The PFMRAF assesses these elements and where shortcomings are noted, potential mitigation measures identified.

There are 5 stages to a PFMRAF:

1. Stage 1: Rapid Appraisal (country level)
2. Stage 2: Risk Assessment, Analysis, Mitigation, and the Approval for Use of Partner Country Systems (institution level)
3. Stage 3: Project Design, Approval, Designation of Responsibilities and Selection of the Funding Mechanism
4. Stage 4: Negotiating and Preparing the Bilateral Project Agreement with the Partner Country Government
5. Stage 5: Implementation, Monitoring, and Evaluation

https://www.usaid.gov/sites/default/files/documents/1868/220mae.pdf

RESOURCES ON HUMAN RESOURCES

- **NGO Connect – CAP Implementation Tips Human Resources**
  This resource introduces fundamental HR concepts and highlights some of the policies that USAID-funded organizations must follow. It also explores practical ways to motivate staff, as well as to recruit and manage volunteers. The resource contains the following topics which are expanded in additional 2 to 3 pager documents on the same topics:
  1. Overview of Human Resources
  2. HR: Putting Policies into Practice
  3. Supportive Supervision: A Strategy to Strengthen Organizations and Individuals
  4. Performance Appraisals
  5. Key Personnel
  6. Collaborating with Volunteers to Strengthen Your Organization

  There are additional resources available that include topics such as leadership, AIDS and other life-threatening illness in the workplace, biodata forms, consultant agreement templates, employment exit checklist, example of code of ethics, and knowledge management policy.
  https://www.ngoconnect.net/sites/default/files/resources/Ch%203%20-%20CAP%20Implementation%20Tips%20-%20Human%20Resources.pdf
  https://www.ngoconnect.net/resources-tools?f%5B0%5D=categories%3A2930

- **Personality Test/Psychometric Tools**
  The Myers Briggs Type Indicator (MBTI) is the one of the most popularly known psychometric tools for teams widely utilized by organizations. It allows one to review how well a team communicates and works together, and to appreciate each other's preferences to improve team morale and performance. Using the basis of Carl Jung's theory of personality types and the adaptations of his successor, Isabel Briggs Myer, the MBTI categorizes individuals on four dichotomies/pairs of personality styles – 'extraverted/introverted', 'sensing/intuition', 'thinking/feeling', and 'judging/perceiving'. People are considered to prefer one style more than the other. The results of the questionnaire categories people into 1 of 16 possible personality types. https://www.myersbriggs.org/using-type-as-a-professional/versions-of-the-mbti-questionnaire/

- **Color Profiling** is fashioned on the four personality types as described by Carl Jung. It focuses on the 4 elements (fire, water, air and earth), in order to create a color profile which can be internationally understood. Fire is Red, Earth is Yellow, Water is Blue, and Air is Green.
  - Red personality traits are considered to be strong leaders and risk takers. They are competitive, confident and often impatient.
  - Yellow personality traits are sociable and enthusiastic. They are often optimistic, relatively informal displaying high energy and lots of vision.

- Blue personality traits are generally deep thinkers who are detail focused. They are systematic, often coming across as perfectionists, and have good time management skills.
- Green personality traits can be described as laid back, patient and democratic. They are agreeable, have a slower thinking style and are likely to be understanding of other team members.

https://www.skillsforcare.org.uk/Documents/Leadership-and-management/well-led/Day-1-17/1.4.1-Colour-Personality-Test-FULL.pdf

- **The Big 5 Personality Test** provides insight into an individual's job fit and company fit by assessing their personality on five main personality characteristics.
    - Extraversion — the level of sociability and enthusiasm
    - Agreeableness — the level of friendliness and kindness
    - Conscientiousness — the level of organization and work ethic
    - Emotional Stability (also called Neuroticism) — the level of calmness and tranquility
    - Intellect/imagination (also called Openness) — the level of creativity and curiosity

https://psychcentral.com/lib/the-big-five-personality-traits/

- **The Occupational Personality Questionnaire (OPQ)** is also known as Saville & Holdsworth Ltd (SHL) personality test and has a comprehensive level for leadership and a general level for management. It measures 32 different personality traits that are relevant to occupational settings and performance. Ultimately the test measures traits with the purpose of determining your behavioural style at work. Employers often use this personality test to see how well job applicants fit the role they are applying for. Personality traits measured are grouped into categories; including relationships, sociability, influence, empathy, and thinking style. https://www.psychometricinstitute.com.au/shl_personality_test.html

- **The DISC Assessment,** based on the four dimensions of personality (dominance, influence, steadiness and conscientiousness) as modelled by American psychologist William Moulton Marston, provides insight and practical tips to help teams interact and communicate more effectively. https://hia.com.au/-/media/HIA-Website/Files/Publications/Webinars/DISC-Further-Info.ashx

- **The Belbin Team Role Inventory** was created by Meredith Belbin (1981) and is used for teams in the business / corporate. It focuses on behaviors which are influenced by an individual's personality. The test will determine how people behave at work and which roles they are best suited to in a team environment. The nine team roles are defined as follows: The Resource Investigator, the Team worker, the Co-Ordinator, the Plant, the Monitor Evaluator, the Specialist, the Shaper, the Implementer, and the Completer Finisher. https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/staff-development/public/impex/Belbin-Team-Roles.pdf

- **Coaching Institutions**
  In determining a suitable institution for coaching in Africa, ASAP considered the International Coach Federation (ICF) certification. ICF is a global organization that exists to build, support and preserve the integrity of the coaching profession. It is dedicated to advancing the art, science and practice of professional coaching and has membership worldwide. There are three levels of credentialing: ACC (Associate Certified Coach), PCC (Professional Certified Coach and MCC (Master Certified Coach). Most of the available coaches are able to work virtually (via phone, Skype, and/or email), so ASAP can match a need with a virtual service provider.

- Strathmore Business School offers coaching and mentoring to variety of leaders in business and industry as well as development sector. Their focus is Africa wide, but they have a niche in Eastern Africa. http://sbs.strathmore.edu/executive-education/executive-coaching-2/
- Course at the Centre for Coaching at the University of Cape Town Graduate School of Business Courses are accredited by International Coach Federation (ICF) and continuing education units (CEUs) for the Health Professionals Council of South Africa (HPCSA). In partnership with Ventures West, the Centre provides coaching through one-on-one executive coaching to individuals and organizations seeking coaching, consult to organizations wishing to invest in leadership development, and consult to organizations wishing to experience a transformational culture shift. https://www.gsb.uct.ac.za/centre-coaching
- The Coaching Centre is based in SA and provides coaching, training, and services. Based on client feedback, they have worked with variety of clients - companies, banks, NGOs and government departments. https://www.thecoachingcentre.co.za/index.html
- International Coach Federation (ICF) South Africa Chapter https://coachfederation.org.za/. They provide accredited training as well as coaching services. They have coaches in various areas including executive leadership and performance. Individual coaches apply various tool and technics including Enneagram, Gestalt, Process and Peace Circles.
- The Coach Development Institute of Africa (CDI-Africa) Ltd. is a member of International Coach Federation (ICF) and is based in Nairobi providing coaching service to companies and corporate clients. https://www.cdi-africa.com/
- International Coach Federation (ICF) Nigeria Chapter provides accredited training as well as coaching services. They have coaches in various areas including executive leadership and performance. Individual coaches apply various tool and technics including Enneagram, Gestalt, Process and Peace Circles. http://coachfederationg.org/
- International Coach Federation (ICF) Morocco Chapter provides the same services as the Nigeria chapter, but is applicable for French speaking countries. http://icfmaroc.ma/

- **Mentoring Resources**
  Linkages - South to South Mentoring Toolkit: This guide is adapted from mentoring tools and resources specifically to support mentoring between individuals and organizations within the global south. It aims at guiding mentoring practitioners both within the LINKAGES project and beyond. It also provides best practices in enabling Local Partners (in LINKAGES Key Population Organizations) that are already engaged in mentoring to more effectively manage, conduct, and monitor mentoring activities. https://www.fhi360.org/sites/default/files/media/documents/linkages-south-to-south-mentoring-toolkit.pdf

  Clinical Mentoring Toolkit: This toolkit is developed by ITECH to address the "do" gap; helping to bridge the gap between new skills, knowledge, and attitudes obtained in the classroom, and effective application of these in the health care setting. The toolkit has resources for:
  - Mentoring program models
  - Setting up mentoring programs
  - For managing the programs
  - Tools for relationship building
  - Strategies for mentoring
  - Mentoring and evaluation tools
  http://www.go2itech.org/resources/clinical-mentoring-toolkit/

RESOURCES ON BUSINESS DEVELOPMENT

- **Going the Distance: Step by Step Guide to Foster NGO Sustainability**
  This resource is aimed at guiding workshops for individual organizations or group of organizations. It has 14 Modules organized in three major parts:
    1. Defining a sustainable organization: Identifying and claiming your niche
    2. Mapping and mobilizing resources
    3. Connecting with donors

  It provides guidance to facilitator to handle each module and section, providing time-plan, what to say and do, materials and handouts etc. The resource recommends implementation sequentially for best results.
  https://www.fhi360.org/sites/default/files/media/documents/Going%20the%20Distance.pdf
  A Facilitator's Guide to Developing OVC Program Sustainability and Transition Plans
  This guide is designed as a reference for CRS OVC program managers and implementing partners (OVC Track I) to assist with the development of sustainability and transition plans. It is organized in three parts:
    1. Background for Sustainability Planning discusses partner capacity assessment.
    2. Sustainability/ Transition Workshop Overview and Preparation describes how the facilitators should prepare for the sustainability and transition plans workshop. It also provides pre-workshop activities for the participants.
    3. The Sustainability/Transition Workshop Facilitator's Guide describes how to facilitate the eleven exercises associated with developing the sustainability and transition plan.

  The modules are implemented sequentially with each module referring to a specific section of the eventual plan.
  https://www.crs.org/our-work-overseas/research-publications/facilitators-guide-developing-ovc-program-sustainability-and

- **Developing a Financing Strategy**
  The CIVICUS resource is aimed at motivating the user to develop a financing strategy, what is required to do so, including what must be put in place within the organization to achieve a successful strategy. It also provides strategic options for financing your organization including:
    o Donor funding
    o Earned income
    o Member fees
    o Fundraising from the general public
    o Investments and careful spending

  It also provides ideas for preparing the strategy document and making it work.
  https://www.civicus.org/documents/toolkits/Developing%20a%20Financing%20Strategy.pdf

  Sustainability Index
  The Global Communities' SI is a tool that CSOs can use to measure and improve their ability to manage and implement projects and deliver services to achieve long term sustainability. It analyzes and assigns scores to six interrelated categories:
    o Organizational capacity
    o Financial viability
    o Policy engagement
    o Quality of service provision
    o Infrastructure
    o Public image

Capacity development intervention helps the CSOs advance in their sustainability through the following pathways:

- o   Early transition
- o   Mid transition
- o   Graduation

https://documentcloud.adobe.com/link/track?uri=urn%3Aaaid%3Ascds%3AUS%3A11419043-a808-4e19-8d92-eb36dac5a0ab