



CORAL TRIANGLE
INITIATIVE
ON CORAL REEFS, FISHERIES
AND FOOD SECURITY

CTI-CFF Grant Management

Grant Management Manual



Grant Management Manual

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1. Introduction

1.1 Background

The Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF) is a multilateral partnership of six countries (Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, Timor-Leste) with the purpose of working together to sustain extraordinary marine and coastal resources by addressing crucial issues such as food security, climate change, and marine biodiversity at the coral triangle region.

For the operation purpose, leaders of the member of CTI established a Regional Secretariat (RS) based in Manado, Indonesia, to provide service and efficient coordination process of CTI implementation at the regional level. The Secretariat is an intergovernmental regional body mandated to promote regional cooperation, sharing of lessons and facilitate learning across the member of countries. The RS also coordinates progress in achieving the organization goals.

To do so, RS has mandates to carry out, as described in the Secretariat Establishment Agreement¹. One in specific is the RS function to help CTI member countries in financing and implementation of activities through the support of CTI partners, financial institutions, and private sectors. Thus, as a public international organization, CTI can have partnership with various entities², receive grants from various sources, and distribute major part of the grants to relevant recipients from the member countries to implement CTI programs and priorities. As a result, in way or another, aside from receiving and managing grants, CTI-CFF can be acting as a grant manager and in other times a grant maker. CTI-CFF through RS can have role as a grantee and a grantor. To help RS to carry out these roles, a guidance to conduct the tasks is needed.

1.2 Purpose and Objective

The purpose of this grant management manual is to provide guidance for RS in managing grants (as a grantee) as well as in conducting grant award process (as a grantor).

CTI-CFF receives regular contribution from the country members. These funds are allocated to pay for RS operational cost, regular and coordination meetings for governance and other technical objectives. Since the establishment, RS has been working and managing the resources provided from the country members well. Nevertheless, for most implementation of CTI Strategic Plans RS requires more funding to achieve them. For this, RS, in line with RS mandates, it can work with government agencies, nonprofit organizations and private sector to deliver CTI programs and impact in the region.

¹ CTI-CFF, 2016, The Agreement on The Establishment of The Regional Secretariat of The Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security (CTI-CFF), Article 5 point f, p 11.

² CTI Partners” means any State, inter-governmental organization or non- governmental organization, including a private sector entity, who:

- a. Had been invited to be a CTI Partner at the initiation of the CTI-CFF; or
- b. Meets the criteria and goes through the established process to become a CTI Partner in the Rules of Procedure;

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Therefore, this manual focuses on the scenario where RS manages grants for its programs and priorities, and, when required, distributes grants to the partners (NGOs, Community, Research Institute, University, Individual, etc.) to implement CTI-CFF mission, strategic plans, and other strategic programs.

The objective of this manual is to enhance RS's capacity and performance in serving its constituents working toward its mission to achieve results. It also aims to increase the organization viability to grow through effective partner engagement with various agencies and stakeholders from different sectors. Therefore, this manual is intended for all RS staffs and constituents who will involve in the grant management process and implementation, such as, but not limited, technical working groups, professional staff, support staff (especially finance department), the Deputies and the Director, as well as the relevant National Coordination Committee (NCC), and any external experts invited to participate in the process.

1.3 About the Manual

This manual shall serve as a guide for grant management. The first part provides an overview of essential elements managing grants for CTI-CFF, especially grants from international development agencies, foundations, and private sectors. The second part provide a practical guidance for a grantmaking or a grant award process.

This manual recognizes when an activity/project is funded by restricted funding and the donor prescribes grant managing rules and procedures, the CTI-CFF policy shall be followed in all cases and any additional donor requirements shall also be followed in cases where donor requirement is more stringent than those of CTI-CFF. For instance, where the donor rules prescribe a lower threshold for any grant management process, a larger number of documentations required than this policy, or specific publication or reporting requirements, then those donor rules shall also apply.

2. CTI-CFF as a Grantee

2.1 Understanding Grant Management

A grant is a non-repayable cash award, in kind contribution or anything of value provided to a recipient under a written agreement to solve a public problem. Contract and cooperative agreement are terms usually confused with grant. Essentially, a grant is when one party or a grantor gives funds to another party or a grantee to do something, in reasonable hopes that the task can be accomplished. A contract on the other hand a legally binding document in which the parties make promises to deliver a product or service in exchange for consideration (usually money). Under the term grant management there are 3 types of activities can be associated with it.

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2.1.1 Grant Seeking

Grant seeking is a form of fund-raising in which money is raised for a defined purpose in a specified time. Most grants fund programs or projects developed by nonprofit organizations respond to a specific problem or need. Grant seeking is mostly project development, research, and positioning activities. The rest is writing. For most nonprofit organization, this is the first activity in a grant management.

When initiating a grant seeking, RS should never write the first line of a proposal until the project or program intervention are fully developed, based on RS mission and strategic plan. Otherwise, RS may have a weak and unconvincing proposal to consider. Once the project is developed (see The CTI Grant Writing Proposal Handbook for finding donors and developing a boilerplate for grant proposal writing strategy), the proposal will need to follow the donors' guidance and requirements.

Grant seeking is hard work, but it is essential for every nonprofit organization sustainability and infinitely rewarding. When RS has a good project that helps and impacting people, the coral, and the environment, RS will see the fruits of the labor in writing the proposal. The work may not seem like a burden.

2.1.2 Managing Grant

Once RS receives money from donors, RS is responsible to manage the funds and its operation in the principle of good governance, transparent and accountable. It is essentially about grant management or project management which involve of planning, organizing, implementing, and monitoring and evaluation of resources (financial, human, technical resources), to bring about a successful completion of a specific goals and objectives.

2.1.3 Grant Making

Grant making is the process of providing a grant (a sum of money or in-kind contribution) to a qualified individual or organization so that they may carry out activities for certain objective or mission. Source of grants can come from various origin. It can come government funds, private foundations, corporations, institutions, and individuals.

There is no single set of “best” grantmaking practices that should be applied by every grantor. Every grant maker has their own mechanism and process. However, there is a general process that can be used as a guidance. The explanation provides in this document is intended to enable RS to:

- Better understand some of the most common grantmaking practices used by donors.
- Establish RS own grantmaking process and revise, as necessary, to improve the practices.
- Optimize the quality of grant applications and the effectiveness of grant management.

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2.2 Managing Grant or Project Management

Regardless of the funding sources, as discussed in the above, grant or project management is about planning, organizing, managing resources that the money can provide (cash, human, technical resources) to successfully complete a specific goals and objectives.

An effective grant management is a process of overall adequate oversight and monitoring of grants from beginning until the close out stage that includes grant seeking, implementation, and result. As a specific project, it is a finite endeavor. It has specific start and completion dates of implementation to achieve goals and objectives, usually to bring about beneficial change or added value.

This finite characteristic of projects stands in contrast to processes, or operations, which are repetitive, permanent, or semi-permanent functional work to produce products or services. In practice, the management of these two systems is often found to be quite different, and as such requires the development of distinct technical skills and the adoption of separate management. Thus, the reason this manual is providing.

The primary challenge of project management is to achieve all the project goals and objectives while addressing some project constraints and optimize the allocation and integration of inputs necessary (activities, interventions) to meet pre-defined objectives.

In general grant management has three phases:

- First phase is the initiation stage or planning
This stage is where the organization is doing grant seeking, finding donors, identify organization needs and priorities, develop proposal, and conduct revision and negotiation prior the project start.
- The second phase is organizing and implementation
This is when organization has signed a grant agreement, build capacity to deliver the activities through provision of human resources, infrastructure, and technical sources, make report, conduct monitoring and audit.
- The third phase is the close out of the grant
It covers planning for close-out, preparing final report for program and finance, conducting final audit, and lastly finding lessons learns for improvement and impact.

2.2.1 First phase: Planning for grant or grant seeking

This stage of obtaining funding has been extensively explained in the Grant Proposal Handbook (please see the document). The document will directly explain the second phase.

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2.2.2 Second phase: Organizing and implementing

Once RS is informed that its grant proposal has been selected for funding, RS need to inform the donor that the organization accept the award.

Before signing a grant or award agreement, RS needs to fully understand the relationship terms that RS is entering. In addition to the relationship with the grantor, RS is entering into a legal contract with the funder. In exchange for financial support (the grant award), RS is promising that it will honor the intent of the project and implement it to the best of its ability as outlined in the proposal that was submitted.

Once the funding is secured and an agreement is signed, grants are disbursed to get the project started and running. At this stage, activities of the project are carried out, and funds are disbursed to facilitate the activities. The management should ensure that the project is carried out according to the design.

In receiving grant, there are steps and activities usually take place. Below are major activities that usually happens or required to be prepared that RS need to do before the money is received.

a. Accepting The Award

It is important to bear in mind, before announcing to the partners and wider stakeholders that RS received a grant, RS should first submit formal confirmation of acceptance to the donor.

b. Review the Grant Agreement

Review the grant activities, budget, and terms and conditions of the agreement. Be cooperative to receive inputs from donor, provide information, make revision, and clarify anything that are not clear. Before signing the agreement, it is very important to understand the following crucial elements of the agreement:

- Who is the donor/Prime Recipient/Sub Recipient (if any)
- Project Title, Objective, Desired Outcome, Deliverables
- Contact Persons
- Award number/ID
- Project Period/Start and End Date
- Award Amount
- Standard Provision/Rules and Regulations
- Scope of Work
- Budget, Disbursement Schedule, and Conditions
- Annexes

c. Recruitment and In-House Orientation on the New Grant

If the implementing team is not completed, RS must immediately recruit the required positions. The appointed project leader along with the supporting team in RS should organize an

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orientation session for the team management to understand the grant agreement and its requirement.

d. Establish and Maintain Separate File for Each Grant

RS is likely to manage more than one grant at certain period. Therefore, all documentation related to a particular grant should be filed together for easy reference. A separate file must be maintained for each grant.

e. Maintain Grant Data Tracking

Grant data tracking is a mechanism where the Grants Officer or the Program Director summarizes the most important information regarding each individual grant. The grant tracking sheet should have this information for more than one grant. It helps to have the compiled information in case an officer is responsible for more than one grant or for the Director as he/she is likely managing more than one program or grant.

f. Work Plan

Upon receiving a signed grant agreement, the grant manager or project leader in RS must prepare a more detail work plan from the agreement. A detailed work plan is a management tool, which provides a framework for planning the work to be carried out in a grant management and serves as a guide during implementation. It is also used by the donor as a document to justify the release of funds. Based on the detailed work plan corresponding cash flow forecasts must be prepared.

g. Funding Disbursement from Donors

Different donor uses different requirements and methods to transfer fund. The method of transfer for a particular fund will be stated in the grant agreement. Generally, the Grants Officer prepares the disbursement request as per the agreed up-on format and sends to the grantor to effect disbursement. The cash request should be explicit in mentioning the bank account details where the disbursement will be transferred. The most common fund transfer types are:

- Direct payment: this usually part of a grant agreement in which a donor or grantor provide funds for a third party on behalf of the grantee.
- Advance payment: this based on an agreed program activities or a period in the grant agreement in which the donor transfers fund to the grantee. The grantee is later expected to provide narrative and financial report to account for the transferred fund.
- Reimbursement of expenditure: this is based on agreed work plan or milestone in which the grantee carries out program activities using its own resources and a claim for reimbursement of the expenditures will be filed with the donor on a specified time.

In this phase of implementation, as RS managing the day-to-day operation and implementation of the grant or project activities, the consequence tasks will follow are to make progress report, manage the fund, make financial report, and conduct monitoring and evaluation. We will look in detail this component in detail below.

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Progress Report

Donor will monitor and document RS technical/narrative and financial performance during project implementation. It is likely the report will follow templates provided by the donor. The reports will allow donor to track progress of deliverable, review expenditures and allow for issues to be discussed.

As a grantee, RS will need to keep records and track the outcomes of the project for reporting purposes. There will be a periodic report as defined in the grant agreement that the RS's Project Manager will need to prepare. The type of data to collect varies by project, but could include item purchased, staff recruited, training sessions held, participant of meetings, etc. In some cases, donor may request special reporting on certain topics. The RS finance unit collect all grant related costs and prepare the official financial required.

Financial Management and Finance Report

Financial management is more than just keeping accurate accounting records. It also involves planning, controlling, and monitoring financial resources to achieve organizational objectives. At a minimum, a financial management system should ensure that costs are properly categorized, tracked, and charged to the appropriate accounts, and that managers are able to report financial information accurately to the Board and to donors.

As a grantee, RS financial management must set up the financial systems and policies to comply with the financial requirements from the donor. These requirements may include:

- Proper categorization of costs.
- Tracking of expenditures.
- Proper charging of bank accounts.
- Accurate reporting.

For each grant RS must produce a financial report which report on and monitor each project's financial affairs in timely and accurate manner. The types of financial reports that RS may have to prepare:

- External (Donor and Other stakeholders) - both program and financial progress reports, audited financial statements.
- Internal (Management Report) - Budget monitoring reports and cash flow reports that consolidate all the grants.

Financial reports show:

- Where money has come from.
- For what purpose it has been received.
- How it has been spent.
- What the outputs of operations are.

Donor Reporting Requirements:

- Use agreed donor reporting format.
- Adhere to donor reporting timeline as depicted in the award document.

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- Align financial report with activity report.

Request for grant amendments

During the grant implementation, there may be situations where RS wishes to request modification to the activities and budget. This is common to happen and most donor usually allow 10% re-allocation threshold, above the 10%, some justification, documents revision, and formal approval are required. To maintain trust and cooperation between donor and grantee all request related to amendments for project funds, project period, etc., should be done in writing. However, it always good to communicate in advance directly to the donor's grant officer or whoever in charge for the grant to discuss the reasons for the amendments and get the green light before making request in writing.

Grant Monitoring and Evaluation

As RS implement the project, RS will need to measure actual progress against the plans laid out in the project workplan. Objectives of grant monitoring are:

- To ensure adequate progress towards achieving grant project performance.
- To ensure both program and financial compliance to the applicable laws and agreements.
- To ensure fund from donor is used responsibly.

To monitor effectively, RS should make sure that performance indicators are measurable. These indicators may need to contain baseline data, qualitative and quantitative indicators.

In some project, baseline data is necessary measure the project performance. It helps the know whether the project is making difference. It is important to be able to look at the situation before and after the project takes place. If no baseline is available, an alternative approach might be to compare the situation in the area where no project intervention takes place, with the situation at the project site.

Quantitative indicators are indicators that can be measured or counted. For example, the number of people trained in a workshop, or the number of fisherman families counted in a village. Quantitative data allow the project to have further analysis by carrying out statistical tests and making comparisons.

Qualitative indicators are more subjective. For example, the attitudes of people attending a workshop, or for information about their behavior. They are usually a bit harder to analyze, but they provide useful insights from community members or project beneficiaries.

During a certain project period, sometimes in the first 6 months, as grantee, RS need to assess and evaluate the effects of the project activities have had. At this stage, RS will need to look and reflect whether it has met the targets and have achieved the outcomes set out to achieve.

Donor Visit

During the project implementation, RS as a grantee may need to facilitate the donor visit. The visit can be for progress monitoring and/or financial monitoring. Progress monitoring is usually a visit to confirm progress with activities and meeting deliverables, and to discuss other relevant issues. Financial monitoring is usually a with the purpose to review the accounting and financial management

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practices of the RS as a grantee, it may also usually intend to identify capacity building needed, and to ensure that proper financial controls are in place.

2.2.3 Third phase: Close out the grant

The grant closeout procedure includes all the final steps in completing a grant agreement. It is done when the donor determines that all applicable administrative actions and work under the grant have been completed. So, as a grantee, until all the steps and requirement for project close out is approved by the donor, RS still has work to do.

In general, there are for key responsibilities at the closeout:

- Complete and submit the final progress report and document performance under the grant.
- Complete and submit the final financial report and reconcile funds awarded to funds spent.
- Dispose of equipment acquired with donor fund.
- Manage unobligated cash balance that is not authorized to be used on other grants as per terms and conditions.

Planning for grant closing

Depend on the project period, grant closing should be planned 3 to 6 months before the end project. RS, as a grantee, must prepare it well. A quarter or even half a year prior the end, RS should consider and verify following issues:

- Is the project still on schedule?
- Will an extension be needed?
- Is the project within budget?
- Are narratives on activities being done?
- Have the required reports been submitted?
- Can these reports tell the story of the project?

The closeout process involves documenting program results and certifying adherence to applicable rules and regulations. In addition, there are certain financial certifications and reports that must be provided to the donor, based on a final assessment of costs. This section does not address all aspects of closeout but is intended to address those aspects that relate to compliance with the terms and conditions of the award and funder’s policies and procedures.

To formally close out an award, RS should complete and submit following documents:

Final Program Report

After the expiration date of the grant, RS as the grantee is usually required to submit a final performance report based on the requirements of the award. RS will be expected to address the following points at minimum:

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- A comparison of actual accomplishments with the goals and objectives established for the entire project period.
- Problems or constraints faced in program implementation, and how they were addressed, including reasons why established goals were not met, if any.
- Actual accomplishments toward the achievement of the relevant indicators and targets outlined in the project work plan and monitoring and evaluation plan.
- Other important information including, when appropriate, analysis and explanation of cost overruns or high unit costs

Remember, the final performance report is cumulative, and therefore the final report should cover the entire project period.

Final Financial Status Report

This final report of expenditures must have no unliquidated obligations and must indicate the exact balance of unobligated funds. Any unobligated or unexpended funds will be de-obligated from the award amount.

At the end of the award, the Funder usually requests submission of a final accounting report. The completion of the final financial report is a critical part of a successful close out process. This report summarizes program costs for the applicable period and provides the Funder with details of residual funds or unobligated balances. The submission of this report can also signify the start date for compliance with the statutory record keeping period, as many Funders specify the submission date of the final financial report as the beginning of the timeline for the award’s record retention period.

RS, as the grant recipient is responsible to expend all award funds necessary to meet award objectives by the expiration date of the award period. Expended funds cover approved expenses that have been incurred (goods and services received) by the expiration date but not yet paid. The recipient has 90 days after the expiration date of the award to disburse those funds that have already been expended.

Within 90 days after the end date of the award or any approved extension thereof, RS should do the following:

- Cash Reconciliation - RS should request reimbursement for any funds due to cover expenditures and obligations (incurred prior to the grant expiration date and liquidated within 90 days after the grant expiration date) at the grant closeout. RS expenditures (outlays) must be equal to or greater than the cash disbursements.
- Drawdown of Funds – RS should request final payment for reimbursement of expenditures made within the approved period in conjunction with the final financial status report.

Equipment or Property Disposition Plans

When receiving grant from development of international agencies, they will usually request their grantee to list all equipment purchased with their funds. Therefore, as a grantee, it is

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usually a requirement to maintain inventory records throughout the life of the project that will allow them to easily determine which items require donors' approval for disposition, per the terms of the award. In addition to consulting the grant agreement, RS should also review the original project proposal, as a disposition plan may have been proposed to donor from the beginning (sometimes organization or project may have a high turnover staff, so it is always good to go back to the proposal and grant agreement).

The first step in preparing the property disposition plan is to review the project's up-to-date inventory. Once the plan is finalized, donor's approval should be obtained.

This applies for equipment, non-expendable items or assets that have a useful life of more than one year and an acquisition cost of certain amount of money (usually above \$ 500) per unit. RS as the grantee is responsible to maintain complete equipment records including a description of the equipment; a serial number or other identification number; the source of the equipment; the name of the person or entity that holds the title; the acquisition date and cost of the equipment; the location, use and condition of the equipment.

Within 90 days of the date of expiration of the award, RS should submit to donor inventory of all equipment purchased with award funds including those that have a current fair market value of \$5,000 or more.

Intellectual Property Rights (IPR)

When preparing for closing, it is useful to look up the grant agreement and ensure all the obligations regarding IPR are compiled and prepared should the stipulation required submission of any documents in physical or digital forms. For example, donor may state that all publication and photograph, designs, graphics, images produced during the project are sole and exclusive property of the donor. Therefore, as grantee, RS may not reproduce, copy, create a derivative work in any form to without written consent.

Record Retention

All parties involved in program implementation should maintain the requisite documentation for the required contractual period. The award terms and conditions usually specify the duration of the record retention period. It can range from 3-10 years of period.

It is common for donors from government or international agency to request that all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least three years or as per government policies whichever is higher from the date of submission of the final expenditure report. In cases where litigation, a claim, or an audit is initiated prior to expiration of the three-year period.

Final Audit

An audit is an independent examination of records, procedures, and activities of an organization, resulting in a report on the finding. A financial audit is conducted to provide reasonable assurance that the financial statements of a grantee present fairly the financial position, results of operations, and cash flows of the organization, or of the funded program,

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in conformity with generally accepted accounting principles. Any outstanding audit findings and recommendations must be resolved for grant to be officially closed out.

3. CTI-CFF as a Donor

3.1 What to Consider Before Initiating Grant Making

Before initiating grant making cycle, there are important consideration that may help RS in establishing the process.

3.1.1 The Grant Making Approach

In general, each grant maker has unique and has their own approach. The approach may change from year to year. There are three types of style or approach. RS can choose:

- Responsive
A funder reviews every grant request received, if it is consistent with the foundation’s mission, goals, and grantmaking criteria. This style is used during the early stages of a donor’s life or when an established foundation develops a new grantmaking program.
- Proactive
An increasing number of donors and foundations state that they do not accept or consider unsolicited grant requests. Instead, they identify effective organization working in areas that correspond with the donor’s interests and they proactively invite grant proposals. Some smaller, unstaffed funders adopt this style as a defensive strategy. It is one way of managing a huge volume of grant requests. Larger, established donors may adopt this style because they have deep experience or because they have a well-defined set of strategies for achieving their goals.
- Hybrid
Some funders incorporate both responsive and proactive styles or use other ways of soliciting requests that combine elements of both. For example, a donor might set out its areas of focus and its overall goals and invite letters of intent from any charity that could help it work towards these goals. Or it might choose to run its own awards program for charities, define the eligibility criteria, and sponsor an open and public competition with a decision made by a juried panel.

When choosing the approach, RS can use the different approach according to its needs. For example, if RS grant program is specific to a certain geographic location, RS may prefer a proactive approach to ensure the result of the grants. When RS is conducting a grant making for scholarship award, RS can blast the grant opportunity information and then conduct the selection process based on the application received. For a specific objective, RS can implement proactive approach in a certain geographic location, identify potential implementing organization and invite them to submit proposals. In sum, RS can use and combine approaches in grant making based on its priorities and objectives.

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3.1.2 The Grant Making Philosophy

Most funders especially foundations have their own philosophy about the grant making process which can be described as a collective view about how the foundation can best accomplish its mission and achieve impact. A foundation’s grant making philosophy shapes its organizational culture.

Expert suggests the following three categories as a way of defining a philosophy, although this set of categories is by no means exclusive.

- Service/Program Delivery
This philosophy focuses on supporting an existing activity or service or expanding that activity to underserved communities or populations. It can be applied to everything from food banks to performances by arts groups to support services for survivors of cancer to building schools in developing countries. Grants might also be awarded to support the search for new interventions, but the focus is always on maintaining or enhancing service provided to specific purposes or target beneficiaries.
- Capacity Building
Rather than funding specific services or activities, this philosophy allocates resources to build the strategic, financial, and operational capacity of a select group of charities. A funder with an interest in preventing domestic violence might seek to support the capacity of those charities with a proven track record in reducing family violence. A grant might be awarded, for example, to help an organization create a business plan, hire a fundraiser, or figure out how to replicate its success in other communities. The primary purpose of the funding is to support the organization, rather than the specific services it provides.
- Systems Change
This philosophy focuses on developing evidence and engaging policy and decision makers who can effect systemic change. Grants might be awarded for evidence-based and policy relevant research, for example. Or grants may be given to charities that are campaigning or advocating for public policy change in a particular field of interest.

Every donor would find it useful to define, articulate, and communicate its own philosophy, whether as a single approach or a combination of the approaches listed above. This will make the task of grantmaking that much easier. It will also enable grant seekers to make more informed decisions about their prospects for funding from a particular grant maker.

Reflecting to CTI-CFF as an organization with specific missions, RS may want to define the approach it will take and its philosophy when implementing a grant making process.

3.2 Grant Making Cycle

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The grant making cycle or process follows a linear lifecycle that includes creating the funding opportunity, applying, making award decisions, and successfully implementing the award. The specific actions along the lifecycle are grouped into four main phases. Each of the four phases has its own page that provides a more detailed look at the process:



Figure 1. The Grant Process

RS follows the Grant Management Process in managing its grants to another entity (See Figure 1). The process is an effective model because it recognizes the interconnectedness of each phase of the process and the important step-by-step continuous activities from the beginning (pre-award) to the completion phase (close-out) of grant agreement.

Whether the grant is to a non-profit organization or to a profit entity, a cost reimbursement grant, or a Fixed Amount Award (FAA), RS goes through these different stages. The table below summarizes the major activities under each phase.

Table 1. Activities under each phase of the grant award process

Pre-Award	Award	Post-Award	Close-Out
<ul style="list-style-type: none"> • Verify that funds for grants exist in the award budget. • Select the grantee through competition or to previously identified partners. • Ensure that RS has prior approval from USAID (if required). • Perform the due diligence procedures: <ol style="list-style-type: none"> 1. Organizational Assessment. 	<ul style="list-style-type: none"> • Decide on the type of agreement (cost reimbursement grant or fixed amount award (FAA)). • Negotiate the agreement terms making sure that the scope of work (SOW) or Terms of Reference (TOR) is clear, the cost is reasonable, and other terms if any are appropriate. • Write the grant agreement using the appropriate template (including the required Attachments). • Send the grant agreement to grantee for signature. 	<ul style="list-style-type: none"> • Make required payment(s). • Provide grant orientation to grantee on the terms of the grant agreement and the donor's flow down rules (e.g., Standard Provisions) making sure that terms are understood and complied. • Monitor activities and report submission. • Conduct financial review and 	<ul style="list-style-type: none"> • Collect final report. • Perform final review/audit. • Release final payment or collect refunds (if any). • Check completeness of the grant files • Remind grantee of the document retention period for client audit purpose.

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Pre-Award	Award	Post-Award	Close-Out
2. Financial Capacity Assessment		perform site visits as necessary.	

3.3 Pre-award Phase

The pre-award phase represents the beginning of the grant lifecycle, which includes, setting focus of grant, announcing opportunities, submitting applications, and reviewing applications.

RS is committed to ensuring that any grants made to partners are properly accounted for and not used to support any form of violent activity or terrorist organizations. Prior to providing grant assistance to selected organization, RS conducts the following due diligence assessments and records are updated once every three years or earlier as warranted.

Below are explanations of what generally occurs during the pre-award phase.

3.3.1 Scan the Landscape and Setting Focus

There are many eligible grant recipients available in every grant making by donors. Therefore, every donor will set specific focus for the money they will give. The focus can a specific theme or subject, specific geographical locations, specific target beneficiaries, specific interventions, specific recipients, specific conditions, etc. They can be also combination of specific requirements.

Many funders set their grant making focus strategy based on its mission-driven plan to guide, execute, and evaluate giving programs. It includes the type of initiatives or intervention the donors will support, the desired outcomes, the extent of investment (total funds and per award), the period on implementation, and so on.

It can also be helpful to consider the landscape of grant making by others. Scan the landscape can be useful to identify:

- Gaps in existing funding for philanthropic, service delivery, charities, or underserved areas in need for assistance.
- Effective organizations or approaches to complex issues that have generated some evidence of positive impact
- Where innovation could be helpful and where the foundation could make a difference. Another reason is to try to avoid duplicating the work of other funders.
- Areas for potential funder collaboration. Almost all foundations will eventually find themselves working alongside other funders with similar interests. Finding out who is in the field before launching into a grant is a more effective use of resources.

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3.3.2 Develop Grant Proposal Guidelines

When RS has identified the focus to guide its grantmaking decisions, RS is ready to begin the stage of selecting and awarding grant.

Government grant-making agencies and foundations usually prepare and publish Request for Application (RFA) or Request for Proposal (RFP). These documents provide detail guidelines to help potential grantees develop proposal based on the criteria desired by donor. They help potential grantees determine the extent to which their funding request is aligned with the foundation's priorities and granting criteria. They are also useful to assist applicants decide whether to apply; and if so, they understand the process to submit the grant proposal.

There are various components to be prepare the grant proposal guidelines. Grant maker must decide various aspect to ensure the grant making attracts the right organization to submit proposal based the requirements, allocated budget, and desired outcome (see Annex 1 for an RFA example from USAID). Here are key points and checklist to prepare in a Grant Proposal Guidelines document alike:

Grant Guidelines

Guidelines should include the following information:

- Statement of purpose and objectives: the donor's mission, goals, and objectives.
- Statement of grantmaking criteria used by the foundation.
- Geographic scope and/or limitations.
- Target population.
- The Structure of proposal and the budget.
- Exclusion - a listing ineligible organizations, project, or expenditure.
- Grant range - minimum, maximum, or typical value of grants awarded.
- Grant duration - single, one-time grants or multi-year grants.
- Application deadlines.
- Evaluation process and criteria.
- Reporting requirement.
- Contact Information.

3.3.3 Define Grant Exclusion

Informing grant seekers about which activities are not eligible for funding is also very helpful to both donors and the applicants. Information about grant exclusions can reduce the amount of grant applications a donor receives. Many donors now choose to exclude capital procurement, traveling in business class, accommodation in above 3-star hotel, alcohol consumptions, campaign materials, etc.

Using RS's financial and donor policies, RS may identify and list non eligible or non-allowable cost to be included in developing grant proposal guidelines.

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3.3.4 Define Grant Criteria

As donors develop the grant guidelines for participant, it is also necessary for the donor internal team to develop criteria that they will use to select the grant proposals. These criteria reflects and flow from the donors' mission, objectives, style, and philosophy. The criteria can also go beyond that to include the more detailed and specific factors that the donors will use in assessing each grant proposal requests.

Clarifying a foundation's grantmaking criteria serves two purposes:

- Increases efficiency
A set of selection criteria will increase the effectiveness and efficiency of the donors' internal decision-making process. The clearer the criteria, the easier it will be to differentiate those grant requests that are eligible and consistent with the foundation's mission from requests that are ineligible or inappropriate.
- Makes it easier to say no
Having grant making criteria makes it easier for a foundation to decline a funding request. While a grant seeker will never welcome the news that its grant request was declined, it is more likely to accept a "no" answer if it understands the criteria used to make the decision.

Some donors and foundations choose to make public the criteria that they will use to assess a proposal. This can reduce the number of ineligible and inappropriate requests that a foundation receives. Smart applicant does not want to waste their valuable time preparing requests for grants that they are unlikely to receive.

Example of criteria to assess proposals:

- Applicant organization/group meets all eligibility criteria and any other requirements specified in this document.
- The reason for wishing to engage in the proposal organizational capacity building activity is clearly explained and the request is in keeping with the Capacity Building/Training & Skills Development Program.
- The amount requested is reasonable and consistent with proposed activities.
- A contribution is made to the knowledge base of the fisherman, women, and youth group in target community.
- Partnership with government agency proved by letter of cooperation attached with the proposal.
- Etc.

3.3.5 Eligibility Requirements

An important element in the grant criteria is to establish eligibility requirements for organization receiving grants from RS. These can be for the following type of organization:

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- Registered Non-government organization, commercial entity, whether; local or international based.
- Development or social action groups.
- Academic or research institutions.
- Government agencies (on rare occasions).

The potential organization should be duly registered with the appropriate authorities, has the capacity to enter into an agreement that requires compliance and under no obligation or prohibition, nor is subject to or threatened by any actions, suits or proceedings which could or would prevent from delivering the required outcomes.

3.3.6 Selection Processes

RS defers to the discretion of USAID donor requirement and project management team in applying the appropriate selection criteria in identifying grantees. Below are some of the selection methods that RS may utilize in grants implementation.

- Non-Competitive Process
RS primarily undertakes project activities through grants issued to sub-recipients who fit the unique and transformative criteria of the project and who can work effectively towards achieving the intended outcomes. Selection of grantee may also be based on successful partnership in previous projects, possibility of funder or donor preference, or recommendations from the partner government agencies. This process is facilitated through issuance of a Request for Application (RFA) (Annex 1) invitation.
- Open Competitive Process
RS may also solicit proposals or applications to pursue grant program activities through a competitive process as required by the award. This process is facilitated through issuance of a RFA in an open environment such as newspaper or publicly accessible website advertisement. In this process, screening of Grant Applications (Annex 2) may be performed by an evaluation committee against prescribed scoring criteria and final grantees are selected from the initial scoring of apparently successful applications.
- Closed Competitive Process
Similar to the Open Competitive Process except the solicitation is targeted to a sector or group through email or formal RFA invitation.

3.3.7 Stage the Process

Some donors will accept fully developed grant proposals without any prior contact with the applicants. However, more recently, donors, especially donor from government funds, are using a staged

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application process to pre-screen or screen potential grant request. Potential grantees are invited to present the proposal through direct or online meeting (especially since the COVID-19 Pandemic). They must present how the proposals meets the donor’s goal and granting criteria before the decisions of the grant award are made.

3.3.8 Communicate with the Grant Seekers

In general, the more advice and information that donor provides to grant seekers, the more likely it is to obtain proposals that meet its criteria and fit with its overall goals. Funders use many different approaches to communicate their grantmaking criteria and solicit proposals, including:

- **Websites**
It is relatively easy to create a website to communicate grant making criteria and provide other information that can strengthen the grant making process.
- **E-mail**
In combination with a website, e-mail remains the most cost-effective way to communicate with grantees and potential grantees.
- **Public meetings**
Some donors organize a public announcement or grant launching events to invite the potential grantees and explain their grantmaking criteria.
- **Social Media**
Use of social media such as Facebook, Twitter, and YouTube are increasing in philanthropy, although not yet commonly used to solicit grant proposals.

3.3.9 Evaluating the Proposals

Once the application submission deadline passes, the grant makers initiate the evaluation process of the proposal received. The specific process for selecting and reviewing application varies based on the type of grant to be awarded. The generally applicable steps are as follows:

- Initial screening to ensure each proposal is complete.
- Programmatic review and assessment of the substance of the proposal.
- Financial review of proposed budgets.
- Award decision and announcement.

Initial Screening of Proposals

In the initial screening, sometimes called basic minimum requirements review, the donors will check each proposal to ensure it includes all the required elements to qualify for the grant. What the specific requirements are will vary for each grant, but common elements are eligibility, program narrative, budget, supporting document attachments. The key for the initial screening is that the agencies are looking for the presence of the required element, not the quality of the element. If the proposal does not meet all these basic requirements, then it is likely not to be considered.

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Programmatic Review and Assessment of Applications

The remaining applications undergo a thorough review and assessment for their technical and programmatic quality and competency. Again, this varies depending on the type of grant you applied for. For discretionary grants, the review is conducted by independent experts who assess the applications using the uniform rating or scoring system established by each awarding agency. A common format is a peer review panel of at least three people, who assess and score each application independently. Then, the peer review panel will convene to discuss the merits of the applications. A series of policies and assurances are in place to maintain a fair, objective process based on material facts in the applications and without conflicts of interest (COI) for the peer reviewers.

3.3.10 Pre-Award and Risk Assessment

As part of precaution and best practice in grant making, most funders usually conduct pre-award review and risk assessment. For most donors, both foundations and philanthropic organizations, are committed to ensure that their grants are properly accounted for and not used to support any of violent activity or terrorist organizations. Therefore, prior to providing grants to selected organization, funders will usually conduct a due diligence assessments and requested updated records of the organization.

Organizational Assessment and Clearance

For US government fund, potential organization will be assessed whether it is eligible to receive a grant. Clearance against terrorist list is performed, potential organization must sign Anti-Terrorism Certification Form in their grant proposal. Any organizations receive \$25,000 and above will need to be cleared from the list of debarred organizations through www.sam.gov.

Financial Capacity Assessment

The financial capacity assessment is part of risk assessment that most donors would do. This assessment is to determine if the organization has effective financial and management systems in place necessary to manage grant funds under the cost reimbursement mechanism. The assessed level of risk in working with the organization will determine the extent of financial monitoring to be conducted and the oversight needed to assist the organization in building its capacity. Site Visit Assessment Tool (Annex 3) can be applied

For grantee under the Fixed Amount Award (FAA) mechanism, a separate clearance is required to document the decision that leads to its application. This is in addition to the Organizational Assessment and Clearance and must be completed prior to awarding any FAA.

3.4 Award Phase

Once the evaluation or review panel complete the grant proposal review process, the Award Phase begins. The final award decisions may be consulted to the highest governance body of the funders. In government donor agency, the final decision may rest solely in the hands of the federal agency staff with fiduciary responsibility and legal authority to enter binding agreements.

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3.4.1 Inform the Selection Process

Once the final grant award decisions are made, donors inform the applicants for the result. This is usually done by email and direct communication with the applicants. It is sometimes important to check, especially if there is a time lag between the proposal submission with the selection process decision (for some government funding agencies, the time gap can be up to 12-18 months), if the applicant is still willing, committed, and able to deliver the proposal's result.

3.4.2 Revision and Negotiation

It is a common practice that after the grant selection result is made, donors can still request for program and budget clarification, and even, sometimes, a program and budget revision to fit with donors' preference and situations. Funders can also ask more supporting document to justify the proposal and grant that will be awarded. The supporting document can be the Standard Operation Procedure documents of the applicant, it can be the current cash flow, etc. International donor agency may even sometimes conduct an organization capacity assessment, office visits, project site visits, other due diligence activities before finalizing the grant award.

3.4.3 Preparing for Grant Agreement

Once the all the questions and negotiation are satisfied, donors will prepare the grant agreement for the grant award. This is an important activity in the grantmaking process because the agreement will determine the main principles and rules between donors' organization and the recipient.

Checklist for a good grant agreement:

- Scope of the contract with project objectives, activities, deliverables, and financial framework (i.e., project budget and schedule).
- Deadlines starting and end date for performing all tasks and activities, and respectively bringing about the desired social/environmental/institutional/etc. changes and outcomes.
- Applicable legal framework for financial and accounting management systems, subcontracting, ensuring transparency, prevention of involvement of partisan activities with project funding, procedures for dispute resolution, etc.
- Disbursement schedule.
- Visualization and information for the public
- Reporting requirements (the schedule, including information about proof of performance and impact achieved, by various hardcopy or electronic means).
- Information on authorized project monitoring mechanism and procedures.
- A mechanism for making amendments to the contract aimed at providing flexibility to react to a changing environment by enabling responses.
- Annexes that provide more detailed information about specific aspects of the contractual obligations.
- Procurement, branding, and publication.

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- Intellectual property rights (IPR). If the grants are for research purpose, based on RS policy and objectives, the IPR for any publication produced by grantees should be regulated accordingly.
- Others

It is important to invest in a dialogue with the soon to be grantee at the pre-funding, pre-contracting stage to reduce risk and grantee underperformance. It enables both parties to get to know each other, build trust, identify existing limitations in the organization capacity or necessary individual responses in a project through customized contract clauses.

A good grant agreement should also have reasonable and flexible mechanisms to react to a changing environment. Should the project outcomes and the operational environment change or occur in a way that needs a reaction by the grantee, the intermediary should be able to respond to this in a timely and effective way. Therefore, it is important to include contract clauses that regulate when and how changes to the contract can be requested and should be justified and negotiated, including information on technical aspects, i.e., how such changes should be documented through the intermediary's project management.

The grant agreement should also serve as a reference schedule for monitoring project progress and outcomes that enables timely checks and controls by the intermediary. It also gives room for donor and applicant that should a need arise, corrective actions can be taken.

3.4.4 Signing Award

Donors have different approach for signing award. Some funders treat the signing award for grantees as regular activities in a year, as they do it regularly once, twice, or more based on their grant cycle. Other donors may consider it as a special event, where a press release is made and gathering of the grantees to have formal signing events with press are organized.

3.4.5 Types of Grant Agreement and Payment Mechanism

In general, under a government grant or philanthropic grant there can be two type of grant agreement and payment mechanism. These two below are usually used by the US Government. The name may call differently by other donors, but they are essentially the same practices. Normally, a grant to another entity (i.e., either a subgrant or a subcontract) can be issued through either a Cost Reimbursement Agreement (CRA) or a Fixed Amount Award (FAA).

Cost Reimbursement Agreements (CRAs)

Cost Reimbursement Agreements (Annex 4) are best used when the nature of the work is not readily quantifiable or easy to price. This type is the most used funding arrangement when helping NGO partners.

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Payments to grantee are often made in advance of expenditures to provide the entity the necessary funding for meeting the set objectives and activities as approved by RS. Payments must be made based on subrecipients' spending forecast and on ability to spend to minimize the time elapsing between funding and spending. Advances must be kept to a minimum as needed and up to their quarterly requirement. This requires submission of quarterly financial reports to allow the release of next quarter's advance. RS may deduct from the next quarter's payment the unspent amount from the previous quarter if it is equal to or more than one-third of the next quarter's requirement.

Fixed Amount Award (FAA)

Fixed Amount Award (Annex 5) may provide advantages to RS in certain circumstances. Under a FAA, the amount of funding is set at the beginning of the award period based upon the value of the activities to be undertaken by the subrecipient or subcontractor. Payments are based upon outputs or milestones, not on actual expenditures. The amount of funding for a fixed price agreement cannot be adjusted regardless of actual expenditures incurred.

Under this mode, the grantee has more flexibility in the use of funds while RS is freed from detailed review of their expenditures. This reduces the risk and audit costs as well.

For USG funded FAA, aside from the approval requirement 2CFR200.332, the maximum amount that can be awarded is equivalent to the Simplified Acquisition Threshold of \$250,000.

It is very important that the FAA agreement and subsequent modifications are reviewed thoroughly to ensure that proper regulations are followed.

Grantee may request for advances as necessary ahead of the required milestones to meet immediate disbursement need. This requires submission of program advance request indicating the specific milestone(s) to which the advance applies. In no event may the grantee request or receive an advance greater than the amount of the milestone for which the advance is requested.

Fixed Amount Awards are encouraged when the following circumstances are present:

1. Program or project objectives and goals can be clearly identified and set into milestones at the start.
2. There is limited risk of substantial changes to the program/project objectives or milestones.
3. Adequate cost information is available to allow the grantee to fairly determine the amount of funding reasonably necessary for the activities to be undertaken.
4. The total amount will not exceed the maximum threshold of \$250,000 (for USG funding).

The basis for the selection of the sub awardee and the valuation of the activities to be undertaken must be carefully examined and documented prior to the issuance of FAA. While this may entail more work up-front for cost verification, a FAA is simpler and more efficient to administer for both RS and its grantees.

3.5 Post-Award Phase

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The post award phase consists of a significant amount of work over the duration of the award dates for grant makers, which includes implementing the grant, reporting progress, and completing the closeout requirements. These are where grant officers are usually assigned by donors. They will help and ensure the grantees to comply with the grant agreement terms and conditions.

Therefore, the post-award phase is very important in building a strong relationship between the donor and grantee. It is only through success of the organizations it funds that a funder can achieve its own mission. It follows, then, that the stronger the engagement between funder and grantee, the more likely that both are to succeed.

3.5.1 Monitoring and Reporting

A donor monitors the grantee progress and expenditures through various programmatic and financial reporting procedures, as well as using performance metrics described in the grant agreement. While most award recipients carry out the grants ethically and efficiently, these monitoring procedures are necessary to maintain transparency and to prevent risk of fraud and abuse.

Funding agency typically has a grants management officer and program officer designated to each grant, both of which the grantee will work with throughout the life of the grant. They are the ones who will review reports and conduct site visits, so it is very important for these officers to build an effective line of communication with grantee's staff members. It is better to prevent issues by listen to their problems, address opportunities and challenges to clarify grant terms, recommend solutions, or manage expectations than it is to let grantee fail to perform, or wait until grantee submit a report and wait for problems to be identified and recourse initiated.

The specific reporting requirements, schedules, and systems can vary for each grant, so please review the grant terms and conditions carefully for this information. Check out the Grant Systems section to learn more about the systems you may have to use and where to find more information about them.

There are several types of monitoring during the project (see Annex 3 for example of Site Visit and Organization Assessment Tool):

- Pre-monitoring
 It takes place at the stage of project approval (this opportunity is similar with the negotiation process in the award phase before the signing of the agreement). It is needed to validate the project evaluation results and feed in (additional) information from direct contacts and/or visits that validate or refute concerns about the information presented in the project proposal, its justification and potential impact. Ideally, a pre-monitoring visit by an authorized representative of funders precedes the formal final decision for funding and grant agreement. It aims to attest the organizational capacity, the availability of human resources capable to take the project through to a successful outcome and the truthfulness of presented organizational, institutional and community situation and needs. Pre-monitoring enables an assessment of capacity development needs of the potential grantee.

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- Project monitoring
This takes place during project implementation and could be scheduled to align with the major project milestones and deliverables or be planned at reasonable periods to check and assess the project progress, outreach, and impact, as well as organizational and team learning process and needs of the grantee and its partners. Ideally, all grantees should be visited in their own environs at least once during the implementation.
- Follow-up monitoring
Revisiting the grantee in each period after the project is closed, to learn about the sustainability of the outcomes and the ‘afterlife’ of the project, as part of the program-level evaluation as well as assessing the needs for a potential future continuation.

Monitoring can take place with different methods. Through review of documentation, reports, and proofs of performance, but also through direct contact (site visits, meetings, conference calls) with the project participants and the management teams. These should be used to analyze the effectiveness of the team and activities, assess if and how well the project outputs and outcomes are achieved, and if any corrective actions should be taken to improve the outreach of the project. Critical issues may require an immediate face-to-face meeting in the form of extraordinary monitoring. A good governance practice is achieved through this formal aspect of the monitoring process. However, to foster an optimal environment for the project implementation by the grantee, the monitoring must be seen not only as a formal tool of control, but also as a tool for sustaining relationships and channels for learning and exchange between the funder and the grantee.

Monitoring of projects tackling specific environmental, or community issues could and should also involve experts with a narrow specialization to assess the project outcomes. Specific feedback as requested and/or discussed at a monitoring site visit could be provided to the grantee, introducing ideas and information that could potentially improve project deliverables and impact.

Monitoring can also be used as a tool for identifying networking and exchange potential. A funder's practice of supporting and enhancing networking among like-minded and working grantees, i.e., in the same or related areas, or grantees that could connect to look for synergies and value added to their projects, across geographic regions within a country or countries. This usually increases the program impact (see also the chapter on non-financial support).

Monitoring visits can also be used to get insights not only of the actual state of the project from the immediate stakeholders and implementing NGO team, but also, to tap into local needs from a policy/community/media perspective. This could inform their knowledge and ideas about fine-tuning of the current or future grant programs for donors.

3.5.2 Auditing

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Both donor agency and grantee or NGO must be accountable and comply to the national regulation for audit. This is strictly adhered by donors using government agency. As they are subject of law in which their operation is monitored, assessed, analyzed by the state, so does the grantee will be monitored and performance analyzed by auditor.

3.5.3 Closeout

The closeout step is where the grant process ends. To complete a closeout, the award recipient, must submit the final financial and programmatic reports. Some donors would require that all grantee must submitted all financial, performance, and other reports required under the grant agreement within 30-90 days after the grant award expires or is terminated. The donor will review these reports to ensure compliance will all the grant terms and conditions as well as to make sure the grantee spent all the funds appropriately.

As a donor, it should inform grantee a confirmation of the end of the grant. The closeout process can take several months if there are financial concerns or questions to reconcile. Also, if grantee acquired any equipment using grant funding, donors have the right to decide the use of them, as it is usually described in the grant agreement. Grantee must make sure to handle them property exactly as the grant stipulates, which includes completing the appropriate reports on this property.

Lastly, grantees are typically required to retain the grant records for at least three to five years from the date of the final expenditure report. The cost to carry out this can be included in the budget and grant agreement.

For US government grant, closeout of grants awarded under the Cost Reimbursement formats must comply with the terms in the agreement for the following:

- Submission of all financial and performance reports.
- Liquidation of all obligations incurred under the award, and refund of any outstanding cash balances
- Submission of inventory for all property procured with grant funds.

Grant closeout for FAAs will be accomplished with acceptance of the final milestone and the approval of final payment.

The Closeout Guidance can be found in Annex 6 and the Closeout Report can be found in Annex 7.

Please note that grants under USAID funding shall be closed out in accordance with 2 CFR 200.343.

3.5.4 Evaluation

When a grant is over, this is an opportunity for a grantmaking organization to reflect on what it has learned and to think about whether it wants to adjust its own practices. Evaluation in the context of philanthropy can be used both to assess the effectiveness of the work of grantees and to assess the

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effectiveness of the grantmaking itself. Ultimately, the objective of evaluation should be to improve operational and program effectiveness through learning by both grantee and the donor.

Evaluation and learning practice in philanthropy is continuously evolving, especially with the recent global covid-19 pandemic. What is most important for a grant maker is to be adaptive and able to include the previous experience into the redesigning purposes and process of grantmaking.

While there is no single set of “best practices” that should be applied to every donor. RS can learn much from the practices of other organizations. The goal of this guide is to RS to assess and benchmark its own grantmaking practices.

The more that a RS adopts good grantmaking practice, the more likely it is to increase its impact. A deliberate effort to review, evaluate and adopt good practices, and to continuously improve them, will go far in implementing grantmaking program for RS, more accountable, more effective, and more successful in its mission to encourage collaboration of its member country for coral conservation.

4. Other Compliance Requirements

Other Compliance Requirements (usually applicable if the Grant Value is \$500,000 or more)

4.1 Child Protection Policy

Grantees are required to comply with the requirement of USAID and RS Child Protection Policy. RS must determine at all phases of its programming the level of risks involve concerning children and should document relevant actions to avoid, minimize, and manage child protection associated risks.

4.2 Anti-Trafficking Policy

RS must perform awareness program to ensure grantees are compliant with the requirements of Anti-Trafficking Policy. The grantee must be informed of RS’s zero tolerance stance against trafficking. The detailed compliance procedures for subawards are outlined in the Combating Trafficking in Persons Certification (Annex 8).

For USAID Awards:

When the estimated value of services to be performed outside the United States is \$500K or more under the grant award, RS must prepare a Project Compliance Plan. As part of the compliance plan, submission of an Annual Certification to the Agreement Officer is required on top of the awareness program.

5. Files Management and Document Retention

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Documentation of grant activities is crucial in the grant making process. Two sets of files are recommended to be kept and maintained following RS's retention policy and USAID audit requirements. The supporting documents must be kept ten years after the grant end date.

6. Revision History

Version	Date	Description of Changes	Requested By
1.0		Initial Release	

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Annex 1. Request for Application (RFA)

Request for Application (RFA)

The following content can be used/modified and cut and pasted into your RFA as instructions to grant applicants. This content should be used in cooperation with the Grants Application Form.

Administrative

At minimum the information under this section are the RFA title, RFA number, date of issuance, due date.

Technical

Program Description

While there is no mandatory standard format for program descriptions, they should be results-oriented. A result is a significant, intended, and measurable change in the condition of a beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Results are linked by causal relationships: i.e., a result is achieved because related, interdependent result(s) were achieved. A standard program description should address the following:

The applicant’s understanding of the “development challenge,” opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing. How does the applicant know what needs changing? What appraisals, evaluations, needs analysis, and other methodologies were used to understand what requires changing?

What are the intended results (i.e., changes in conditions)? Applications must clearly identify the beneficiaries, their number, location, and anticipated benefits that beneficiaries will receive.

The link of the challenge, opportunity, or problem to the key objectives of the overall project. How will results contribute to the achievement of IRs and/or SOs? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?

Applicants should provide this information as per the Program Description of the grant application form.

Implementation Plan

A standard Implementation Plan should show how the anticipated results would be achieved. What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?

Monitoring and Evaluation Plan

A standard Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. For each result, what is the performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition and what is the unit of measurement? What are the plans for reporting and using the performance information?

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Financial

Each application must contain a detailed line item budget accompanied by a budget narrative explaining all costs. An acceptable budget will have all costs broken out by unit costs and clearly show the number of units used for each line item. The narrative will describe how the grantee arrived at each unit cost and the number of units for each line item.

See the grant application form for instructions on submitting a detailed budget and narrative.

If cost share is required, the detailed cost share contributions should be inserted into the Budget and Budget Narrative.

Past Performance

All applicants are subject to a past performance reference check. Therefore, they must provide the name, address, and other contact information of at least three (3) past performance references, as required by the grant application form.

Dun & Bradstreet Number (DUNS number)

Grantees that receive more than \$25,000 from XX are required to have a DUNS number before receiving a grant award.

See the Grant Application Form for instructions on requesting a Dun & Bradstreet number.

Certifications, Assurances, and Other Statements of the Applicant for USAID Funded Grants

The application should incorporate any of the required certifications based on the guidance below that are required for the type of organization, level/type of funding, flow down from the prime award or where the work will be performed. Please see below for information about various types of certifications.

In the certification, references to providing material support and resources shall not be deemed to include furnishing USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance (recipients of food, medical care, micro-enterprise loans, and shelter, among others), unless XX has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.

Look-up Guide for Required Certifications and Assurances (USAID/U.S. Government Funding)

Types Of Certificates/Assurances	U.S. Organization	Non-U.S Organization
Certification Regarding Terrorist Financing	Required	Required
Certification on Lobbying (SF-LLL)	Required if grant exceeds \$100,000	Required if grant exceeds \$100,000

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Types Of Certificates/Assurances	U.S. Organization	Non-U.S Organization
Certification on Trafficking in Persons	Required if grant exceeds \$500,000	Required if grant exceeds \$500,000
Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals	See footnote 1	See footnote 1
Key Individual Certification—Narcotics Offenses and Drug Trafficking	See footnote 1	See footnote 1
Participant Certification—Narcotics Offenses and Drug Trafficking	See footnote 1	See footnote 1
Assurance of Compliance with Laws and Regulations Governing Non-discrimination in Federally Assisted Programs	Required	Required if the program is partly undertaken in the United States
Certification of Compliance with the Standard Provision “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking”	Required if HIV/AIDS funds are obligated.	Required if HIV/AIDS funds are obligated
Prohibition of Requiring Certain Internal Confidentiality Agreements or Statements	Required	Required

¹ The requirement applies only to those subrecipients specifically designated by USAID to receive or provide more than \$100,000 in “covered assistance.” See Section 4.2.4, below. Designation means that the subrecipient has been unilaterally selected by USAID as the subrecipient. USAID approval of a subrecipient selected by another party, or joint selection by USAID and another party, is not designation. See USAID ADS 206.

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Annex 2. Grant Application

Grant Application and Award Form

Instructions:

- All applicants are required to complete and submit this application form.
- All the attachments (A to C) referenced in this application are required parts of the application and must be attached to the completed application form. Therefore, a complete application should consist of this form and all the attachments.
- By signing and submitting this application, the applicant attests to the Anti-Terrorism Certification in item 14.
- Applicants must complete only Part I (items 1-14) and submit all the required attachments.

Part I – Application – All applicants must complete ALL of Part I.

1. Date of application:	
2. Name of applicant:	
3. Address of applicant:	
4. DUNS Number: (instruction attached)	
5. Names and titles of officer(s) authorized to represent the applicant and his/her alternate: Authorized Officer:	
Alternate:	
6. Proposed period of performance:	
7. Proposed budget:	
Signature/Name/Title	

8. Program Description (Required)

The applicant must describe in detail the program of activities proposed to be supported by the grant. The program description must be results-oriented. Result is a significant, intended, and measurable change in the condition of the beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent result(s) were achieved. An excellent program description should address the following:

(a) Applicant’s understanding of the “development challenge,” opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing.

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How does the applicant know what needs changing? What appraisals, evaluations, needs analysis and other methodologies were used to understand what requires changing?

(b) Applications must clearly identify the beneficiaries, their number, location, and anticipated benefits that they will receive. What are the intended results (i.e., changes in conditions)?

(c) The link of the challenge, opportunity, or problem to the key objectives of the overall project. How will results contribute to the achievement of strategic objectives? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?

Executive Summary

Using 1-2 paragraphs, please provide a summary of the grant application.

Contextual Analysis

Applicant should provide a brief overview of the past development and current situation of [GranteeName]. Applicant should describe the vision for [GranteeName] and the challenges and risks that the organization needs to overcome to improve performance, compliance, and viability. Additionally, mention the stakeholders of the organization and the importance of inclusiveness but also efficiency.

Program Description

See Attachment A for details.

9. Implementation Plan (Required).

An excellent implementation plan should show how the anticipated results would be achieved. What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?

See Attachment A for details.

10. Monitoring and Evaluation Plan (Required).

An excellent Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. For each result, what is the performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition and what is the unit of measurement? What are the plans for reporting and using the performance information?

See Attachment A for details.

Applicants are required to submit the Program Description, that includes Implementation and Monitoring and Evaluation Plans as Attachment A to this application.

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11. Budget and Budget Narrative (Required).

Each application must contain a detailed line item budget accompanied by a budget narrative explaining all costs. Lump sum budgets will be considered non-responsive and will be rejected. An acceptable budget will have all costs broken out by unit costs and should clearly show the number of units used for each line item. Each line item should identify the type of cost, e.g., labour units, units of materials and/or equipment, travel, transportation, communications, etc. The narrative will describe how the applicant arrived at each unit cost and the number of units for each line item.

Applicants are required to submit the Budget and Budget Narrative as Attachment B to this application.

See Attachment B for details

12. OCEQ (Organization Control Environment Questionnaire) (Required).

All applicants are required to complete the questionnaire attached to this application. U.S. Agency for International Development (USAID) regulations require XX to obtain information from all applicants in order to determine an applicant’s ability to comply with prescribed standards for (a) financial management, (b) property management, (c) procurement, and (d) reports and records. Please answer all questions to the best of your ability; do not leave blanks. Failure to provide the necessary information may cause your application to be rejected.

Applicants are required to submit the completed OCEQ (Organization Control Environment Questionnaire) as Attachment C to this application.

See Attachment C.

13. Past Performance References (Required).

All applicants are subject to a past performance reference check. Applicants must provide name, address, and other contact information of at least three past performance references below, to attest the capacity and reference to perform the activities in which they are proposing.

Name	Project Name	Address	E-mail	Telephone
(1)				
(2)				
(3)				

14. Anti-Terrorism Certification (Required).

It is a mandatory requirement by USAID and a condition of award that the applicant must certify that it does not support terrorism. Applicants unable to submit this signed certification will not be eligible for an award.

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

1. The applicant, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the applicant to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the applicant will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC) and is available online at OFAC’s Web site: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf> , or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID through RTI.
 - b. Before providing any material support or resources to an individual or entity, the applicant also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the “1267 Committee”) [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee’s Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the applicant will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The applicant also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification
 - a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”
 - b. “Terrorist act” means:
 - i. an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see United Nations terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>);
 - ii. an act of premeditated, politically motivated violence perpetrated against non-combatant targets by subnational groups or clandestine agents; or
 - iii. any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate

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a population, or to compel a government or an international organization to do or to abstain from doing any act.

- c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.
- e. The applicant's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the applicant that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the applicant has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

In Agreement to the terms and conditions above:

Name of Applicant Organization:	
Name and title of officer or his/her alternate authorized to represent the Applicant (either name that appears in Box 5 of this Application.	
Signature:	Date:

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ATTACHMENT A
PROGRAM DESCRIPTION TEMPLATE

1. STATEMENT OF PURPOSE

[Insert]

2. BACKGROUND

[Insert]

3. PROGRAM GOALS AND OBJECTIVES

[Insert]

4. IMPLEMENTATION PLAN

[Insert]

The following are list of activities and planned dates.

ACTIVITIES	J	J	A	S	O	N	D	J	F	M	A	M

5. MONITORING AND EVALUATION PLAN

[Insert]

6. KEY PERSONNEL (if applicable)

- 1.
- 2.
- 3.

7. EXPECTED OUTCOMES

[Insert]

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8. PROJECT OVERSIGHT

[Insert]

A brief narrative that names (and provides 2-3 sentences about the key 3-5 staff working on this. How people will be held accountable, meeting schedules, etc.

9. CLOSEOUT

[Insert]

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ATTACHMENT B

SAMPLE BUDGET AND BUDGET NARRATIVE

Note: Budget Summary and details are in Excel

A. Total Operational Cost

Personnel Cost (Total budget covers under grant XXX; Cost share XXX)

[GranteeName] proposes xxxx persons on staff. (If there are staff to be paid under XX grant, identify who will be involved, their position, their roles in the project, daily rate, and level of effort).

Fringe Benefits (Total budget covers under grant XXX; Cost share XXX)

[GranteeName] proposes xxxx % of salaries which are included XXXXX.

Travel and Transportation (USAID: \$0.00; Cost Share: \$0.00)

Do you anticipate some travel to implement the grant? For e.g., meetings at Secretariat related to the grant? If so, either [GranteeName] shoulders all of it or can cost share.

Equipment and Supplies (USAID: \$0.00; Cost Share: \$0.00)

Organization proposes to buy the following XXXX. The prices used are reasonable because XXX. The quoted price includes XXX. The price for the XXXX is based on organization's historical spending on this type of equipment.

No.	Name of the Equipment/Supplies	Justification

Office Operational /Administrative Costs

Communications: *Estimated costs cover postage and courier services, telephone, mobile phone, fax, Internet access, and electronic communications. Based on in-country research, we have budgeted US\$50 per month to cover these costs. All communication costs will be paid with co-finance funds provided by Donor X.*

Reproduction costs: *Based on our experience on similar projects, we estimate US\$40 per month for paper, copy charges, and other costs associated with the reproduction of reports, training materials, and day-to-day copies for accounting back-up and communications purposes. All reproduction costs will be paid with co-finance funds provided by Donor X.*

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Expendable supplies: Based on experience managing projects of this size, we have budgeted US\$40 per month for office supplies such as paper, pens, and other expendable materials. All expendable supplies costs will be paid with co-finance funds from Donor X.

Other Office Rent, utilities, and maintenance: (USAID: \$0.00; Cost Share: \$0.00)

Based on price information obtained, we estimate US\$XXX per month for office rent, utilities, and maintenance. Organization XYZ will need to find additional space for project implementation as current space is too small. We intend to acquire space in a guarded building, which will result in a cost savings to the project. 50% of the office rent, utilities and maintenance will be paid with co-financing funds provided by Donor X.

B. Program Cost/ Direct Cost

Trainings, Seminars, Workshops (USAID: \$0.00; Cost Share: \$0.00)

[GranteeName] staff (state the number) will participate in the following training courses (list the courses) to be conducted by (organization). Registration fee costs \$XXX/person. [GranteeName] will organize workshops at the Training Department in Samut Prakan on (topics) and have budgeted for facilitator, resource persons, meals and associated costs for (#persons) for (# days).

Other Direct Cost to carry out the program implementation.

Grantee detail the budget following to the activities listed under the program description.

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ATTACHMENT C

Organization Control Environment Questionnaire (OCEQ)

Organizational Control Environment Questionnaire

**For Grants to Non-US Organizations
with Simplified and / or Fixed Amount Awards anticipated to be under \$150,000**

CTI-CFF uses this questionnaire to verify applicant has the capacity or potential capacity to adequately perform in accordance with the principles established by the US Government and other donors to ensure that its accounting, record keeping, and overall financial management systems meet applicable standards and to determine if the applicant’s system of internal controls is reasonable in the applicable cost principles.

Legal name of applicant organization:

Name and title of individual completing this questionnaire:

Signature of Individual Completing:

DUNS Number

General Information

1. Type of Organization: (Check either NGO or HG)

- Nongovernmental (NGO)
- Governmental (or host government [HG] institution) *

**An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, or local or state governments or agencies.*

(Check one below)

- Non-Profit
- Educational
- For-Profit
- Other _____

2 Is your organization incorporated or legally registered?

- Yes

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No

3. City and country of incorporation or legal registration: _____

4. Date of incorporation or legal registration: _____

5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

- Required to pay taxes on revenue/income
 Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

_____ Full-time employees
_____ Part-time employees or Volunteers

7. Has your organization received funding from any agency of the U.S. Government (e.g. USAID, CDC, OFDA) in the last 3 years?

- Yes
 No

If yes, please identify the source and specify the amount(s) received from each source, by year below:

8. What is your organization's fiscal year?

9. Do you anticipate expending \$750,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

- Yes
 No

Indirect/Overhead Rates

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?

- Yes
 No

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If YES, please attach a copy to this Questionnaire and go to the next section.

If NO, does your organization plan to recover administrative costs or overheads (rent, utilities, phone costs etc.) charge an indirect or overhead rate to the budget of the grant agreement?

- Yes
- No

If YES, please describe how your organization recovers administrative or overheads costs.

2. Has the indirect rate been audited?

- Yes
- No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

3. Is the indirect rate charged equally to all funders of your organization?

- Yes
- No

If NO, please explain.

Financial Management

1. Is your accounting system [] manual or [] automated? If automated, what accounting software program are you using? Specify.

2. Do you have documented policies and procedures for processing financial transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

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- Yes
- No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

- Yes
- No

4. Do you use a documented chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

- Yes
- No

5. Is your accounting system capable of tracking and documenting separately the utilization (see above) of grant funds by source?

- Yes
- No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

- Yes
- No

7. What is the name of your organization's bank? _____

Personnel

1. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

- Yes
- No

2. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

- Yes
- No

If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

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Procurement and Property Management System

1. Does your organization have a documented procurement procedures or policy?

- Yes
- No

2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of \$3,000?

- Yes
- No

3. Do you have a property management manual?

- Yes
- No

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Annex 3. Site Visit Assessment

Site Visit Assessment

<p>Name of Organization:</p> <p>Date of Assessment:</p> <p>Individuals Attending:</p> <p>General Information:</p> <p># of Staff:</p> <p># of Finance Staff:</p> <p>Average Monthly Spend (over the last 12 months):</p> <p><input type="checkbox"/> Pre Award Visit or</p> <p><input type="checkbox"/> Monitoring Visit</p>

<p>Summary of Findings (provide narrative that speaks to documents reviewed, weaknesses found or anything out of the ordinary worth noting)</p> <p>Accounting Procedures</p> <p>Internal Controls</p> <p>Budgeting, Audit and Cost Share</p> <p>Policy Environment</p>
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Assessment Scales

Risk Level Determination (%) **Risk Rating:**

Based on the percentage of “no” answers to the questions below.

High	70 -100%		Not found/Never or “No”
Moderate	31-70%		Always/Strong Capacity or “YES”
Low	0 -30%	N/A	Not Applicable

The elements of the tool are phrased to elicit a yes or no answer; however, Not Applicable is also a valid response.

Count the response types and insert into table below for calculation of the Percentage:

# of "Yes" Responses	0		
# of "No" Response	0		
# of "N/A" Responses	0		
Total Responses	0		
(Hint Total Should = 91)		Score =	#DIV/0!

Risk Level Score (See RTI’s Grant Administration Manual for further information on Pre-Award Survey and Monitoring Guidelines.)

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A. ACCOUNTING PROCEDURES		Yes/No/N/A	COMMENTS
General System			
1	There is a written policy on accounting, and it is based on a national or international standard.		
2	“Cash” or “Accrual” system is defined and applied on a consistent basis		
3	There is a computerized electronic system of accounting. <i>Answer should be “NO” if Excel or similar program is the system.</i>		
4	The accounting system separates income and expenses by separate donors <i>If the answer for #3 is “NO”, then answer “NO” to this question.</i>		
5	Accounting entries made timely. <i>Answer should be “NO” if entries are made only made 1 time per month.</i>		
6	All advances are reconciled and tracked against the donor or funder and project for which the advance was taken.		
Receipts and Handling of Cash			
7	Procedures and responsibilities are clearly defined. For example, only the cashier is authorized to receive cash		
8	Pre-numbered receipts bearing the name of the organization are issued for all cash receipts		
9	Unused receipt books and voided receipts are kept properly secured and there are proper procedures as regards their issue		
10	All cash received is recorded and deposited in the bank		
11	There are adequate security arrangements as regards custody and transit of cash		
Recording			
12	All payments are supported by payment vouchers or other supporting documentation, Vouchers are properly supported by adequate documentation and explanations This documentation may include local purchase		

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	order, quotations, invoices, receipts, correspondence, proof of delivery; supporting documentation are filed in the order in which they are entered in the cash book and can be readily found		
13	Documents are properly approved for payment and cancelled (i.e., stamped PAID) upon payment		
14	Payments are properly allocated to the correct project		
15	There is proper control over use and safekeeping of checks. <i>Answer should be "NO" if the check book is kept in an unlocked drawer or office.</i>		
16	All checks or funds transfers are signed jointly by two of at least three signatories (one check signatory is someone other than the person who has authorized payment)		
17	No checks are signed in blank		
Bank Accounts			
18	Bank reconciliations are prepared monthly		
19	Bank reconciliations are checked and approved by someone other than the one who prepared the reconciliation, followed up promptly and out of date items written off		
20	There are adequate controls as regards signing of checks. For instance, above a certain threshold, more than one signatory is required.		
21	If bank accounts are maintained in both USD and local currency, are USD amounts converted to local currency in accordance with the country's legal requirements, and adequately supported. <i>Answer should be "N/A" if the bank is only in local currency.</i>		
Petty Cash Records			
22	There are no "IOU's", or similar payments entered in the petty cash book Note: These may come to light when the cash reconciliation		

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	is controlled by a person other than the petty cashier.		
23	The petty cash impress (float) is established at a reasonable level		
24	Petty cash expenses are supported by adequate documentation and reconciled timely		
25	Petty cash is properly secured in a cash box with limited access to unauthorized personnel. <i>Answer should be "NO" if the box does not lock or kept in an unlocked office.</i>		
Financial Reporting			
26	Are any reports generated periodically from the ledger for review by management? (At least monthly)		
27	The authorization of the executive director (or equivalent position) is required when it is proposed to open new accounts or close old ones		
28	Are funds from different donors tracked separately? How? Are separate bank accounts used or is the accounting system computerized?		
29	If an automated accounting system is in use, is there a mechanism in place to ensure that the accounts cannot be manipulated after period closure?		
Journal			
30	Transfers between one ledger account and another are recorded in a journal which shows the reason for the transfer and supporting documentation is attached as appropriate and approved by Finance Director or equivalent. <i>Answer should be "NO" if there is evidence that costs are moved to different sources after the original charge/expense is recorded.</i>		
Trial Balance/General Ledger			
31	A trial balance is prepared within a reasonable time at the end of each month, accurately lists all account balances and agrees with the figures on the monthly financial report		

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Payroll and Salary		
32	Adequate payroll records are kept, are accurate and negotiated salaries and increments are the basis for payment based on personnel contracts.	
33	There are adequate procedures to ensure that pay is correctly calculated, adjustments being made where appropriate for unpaid leave, overtime, etc.	
34	The payroll is reviewed, authorized, and countersigned by the Finance Director or equivalent	
35	Time sheets are completed by all employees under USAID or USG funding and are countersigned by an immediate supervisor. Payments are correctly charged to cost centers based on the time sheets.	
36	Someone other than the person who prepares the payroll is responsible for paying out wages to employees.	
37	All payroll taxes and other deductions are properly calculated in accordance with local regulations and paid timely.	
B. INTERNAL CONTROLS		
Approval Controls		
38	Specific transactions are approved by persons having the authority to do so in accordance with established policies and procedures	
39	Key records are matched before a transaction is approved (matching purchase order, receiving report and vendor invoice before the invoice is approved for payment)	
Segregation of Duties <i>If there is only one Admin/Finance staff in the organization, then all answers should be "NO", unless the organization has established an equally suitable segregation.</i>		
40	The individual responsible for procuring goods and services and selection does not prepare checks, sign checks, or reconcile the bank	

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	accounts, and is not responsible for non-cash accounting records such as accounts receivable, the general ledger or the general journal		
41	The person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts		
42	Different individuals are responsible for purchasing merchandise or services, receiving merchandise or services and approving vouchers		
Safeguards Over Records			
43	Cash receipt totals are recorded before cash is transmitted for deposit		
44	Secured facilities are used when appropriate, and access to critical forms and equipment is limited to authorized personnel		
45	Procedures are established to provide reasonable assurance that current files can be recovered in the event of a computer failure		
C. BUDGETING, AUDIT AND COST SHARE			
Budgeting and Reporting			
46	Grant/Contract conditions are communicated to all interested parties		
47	Monthly financial statements are compared to approved budget and material variances are addressed		
48	Policy and practice provide evidence that financial reports are summarized monthly, tie directly to established set of accounting records, communicated with key management staff within reasonable time		
Auditing			
49	Audit contract(s) are clear in scope/program and authority. If the organization is a US organization and receives over \$750,000 in USG funding annually does it have an audit consistent with 2 CFR 200		

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	Subpart F annually and provide it to the donor? If the organization is a non-US or foreign organization and receives \$750,000 or more in USG funding annually, does it have an annual audit consistent with 2 CFR 200 Subpart F and the <i>"Guidelines for Financial Audits Contracted by Foreign Grantees"</i> <i>"If the thresholds do not apply, answer should be "N/A"</i> .		
50	Project auditors are licensed to perform audits, independent of the functions, arranged each year. <i>Answer should be "N/A" if "N/A" above.</i>		
51	The management committee and governing body consider the report and recommendations of the auditor at the meeting when the annual accounts are discussed. <i>Answer should be "N/A" if "N/A" above.</i>		
Cost Share/Match			
52	If the organization is required to cost share, does it maintain verifiable records of match reported? <i>Answer should be "N/A" if the grant does not require cost share or leverage.</i>		
53	Is the cost share reported only for one USG funded program? <i>Answer should be "N/A" if the grant does not require cost share or leverage.</i>		
54	Is the cost share directly supporting the program or project and necessary and reasonable for proper and efficient accomplishment of project or program objectives? <i>Answer should be "N/A" if the grant does not require cost share or leverage.</i>		
Indirect Cost			
55	Has the organization undergone an audit to certify their proposed indirect cost rate? If yes, identify when and by whom? <i>Answer should be "N/A" if the organization does not have an indirect rate.</i>		
56	Does the organization allocate indirect costs appropriately? If the organization charges direct amounts to projects based on a shared method, verify how it is handled internally.		

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D. POLICY ENVIRONMENT		
Ethics		
57	There is a written employment or HR policy. It is objectively reasonable and universally applied	
58	Policy and practice demonstrate attention to prohibition of nepotism or favoritism under hiring, vendor, and subcontract selection	
59	Policy and practice dictate that employees are not permitted to hold office or positions in other companies or bodies with which the organization has contractual relationships. Disclosure of potential “conflict of interest” is included in documented policy.	
60	Policy prohibits absolutely any illegal dealings on behalf of itself or other parties	
61	There is no evidence of instances of employees being involved in their own private enterprise during office hours	
Organizational Policy and Governance		
62	Documented policies establish events and/or transactions that the organization is authorized to engage in accordance with law, regulation, or management policy	
Personnel Policy and Management		
63	The management has a list of all staff employed, their designations and remuneration levels	
64	Each new employee is interviewed before s/he is employed	
65	A Contract of Employment in writing is prepared for each employee (before commencing employment), and signed by both Employer and Employee	
66	Written Job Descriptions are prepared for each employee, showing what each person is expected to do, when it should be done and to whom they are accountable	

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67	A personnel file is kept for each employee, with details of salary and other personnel matters		
68	Salary rates (and any changes to these) are authorized by the appropriate governing body		
69	The organization has written internal regulations covering such matters as hours of work, holidays, sick leave, discipline, dismissal.		
70	Adequate and appropriate financial provision is made for pensions and /or gratuities for retiring employees		
Travel/Transport Policy and Management			
71	The organization has a travel policy and applies it on a consistent basis meaning each donor is charged the same amount for travel		
72	Travel cost reimbursement for staff, both domestic as well as regional/international is clear in policy and practice		
73	Mechanisms exist for reporting and liquidating travel expenses		
74	If applicable to the grant, vehicles are garaged in a safe place, use is controlled, limited to business of the project, limited to licensed drivers,		
75	The users of vehicles maintain the vehicle logbook, showing date, journey details, kilometers at start and end particularly if vehicle is being utilized under USG funding		
Property Policy and Management			
76	The organization has suitable premises to accommodate the staff and to carry out its activities		
77	If the organization owns land or buildings: the title deeds are legally registered, and kept in a secure place		
78	Leases (tenancy agreements) have been prepared for all property rented to or from the organization		
79	Someone has been nominated as responsible for the proper maintenance of all property		

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80	Adequate insurance has been taken out against fire, burglary, public liability, etc.		
81	An up-to-date fixed assets register is maintained		
82	The fixed assets inventory is complete and regularly checked by management		
83	Additions and disposals of assets are authorized and properly recorded in the accounts		
84	Assets are kept in suitable and secure locations		
85	Donated assets are properly valued and recorded		
86	Assets are properly marked and labeled – USAID funded assets have correct marking		
Procurement Policy			
87	All procurement is authorized with different authorization levels for different thresholds		
88	All procurement is supported with adequate documentation including quotations, requisition notes, purchase orders		
89	A competitive solicitation process is practiced and justification for selection of vendor documented per threshold amount		
90	Service agreements prices are checked every six months for current best price/value information		
Project Management			
91	Does the organization have a system that can track funds received and used by project? If so, are these reports shared with project managers?		

This assessment incorporates many elements from the following publications:
 USAID General Notice, M/MPI and M/OP, 08/06/1999” Control Environment and Risk Assessment Checklist”
 Version 1. May 2018

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Annex 4. Cost Reimbursement Grant Agreement Template

GRANT AGREEMENT

Between

Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF)

And

[Grantee Name]

Grant Summary:

1. Grant Number	
2. Type of Grant	Simplified Cost Reimbursement Grant
3. Grant Activity Title	
4. Grant Administrator	Address:
5. CTI-CFF Grants Officer	
6. Grantee	
7. Grantee's Point-of-Contact	[Insert Official mailing address] [Insert Email address and phone number]
8. USAID Contract Number	
9. Project Title	
10. CTI-CFF Project Number	
11. Period of Grant	Start Date: End Date:
12. Grant Ceiling	
13. CTI-CFF Technical Monitor	
14. CTI-CFF Grant Manager	
15. Incorporated Documents	Attachments A-B
ATTACHMENTS:	
Attachment A: Program Description	
Attachment B: Project Budget and Narrative	

This Grant is awarded to **XXXX** (hereinafter called "Recipient" or "Grantee"), having its principal place of business at **XXXXX** and administered by **Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF)** (hereinafter called "CTI-CFF"), under Contract/COA No. XXXXXXXXXXXXXXXX between USAID and CTI-CFF to support implementation of the XXXXXX (Project Title) (hereinafter called "Project").

Whereas:

The United States Agency for International Development (USAID) awarded Contract/COA (No. XXXXXXXXXXX) to CTI-CFF to implement the Project.

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- A. This Grant will implement specific activities that will contribute to achievement of the Project Objectives as stated in Article 1.
- B. This Grant shall not (i) create the relationship of principal and agent, employer and employee, joint venture, or business partnership between CTI-CFF and the Grantee; and (ii) establish privity of contract between USAID and the Grantee.
- C. Authority of Agent: Designated agents on behalf of the Grantee and CTI-CFF are the sole authority authorized to make amendments and any other substantive changes to the Grant Agreement Terms.

Now, therefore, in consideration of the promises and of the mutual covenants and agreements contained herein, and intending to be legally bound, CTI-CFF and the Grantee hereby agree to the following terms and conditions of this Grant.

Article 1. PROJECT OBJECTIVES

XXXXXXXXXX

Article 2. PROGRAM DESCRIPTION

The Grantee will implement the activities described in the Program Description in **Attachment A** of this Grant Agreement.

Article 3. PERIOD OF GRANT

The effective date of this Grant is **XXXX**, hereafter the “Grant Activity Start Date”. The estimated completion date of this Grant is **XXXX**, hereafter the “Grant Activity Completion Date”.

All activities financed with Grant funds will not commence prior to the Grant Activity Start Date, and will be completed and will cease no later than the Grant Activity Completion Date; unless CTI-CFF provides approval of a time extension in writing prior to the specified Grant Activity Completion Date. No Grant award will provide for retroactive funding.

Article 4. CEILING AMOUNT OF AWARD

This is a Cost Reimbursement Grant. The total amount of this Grant for the period indicated in Article 3 is **XXX**. At no time may the total expenditures to be charged to the Grant Agreement exceed the approved budget.

Article 5. OBLIGATED FUNDING

The amount currently obligated for this Grant is equal to the **XXXX**.

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The approved detailed and total Grant Budget and Budget Notes can be found **XXXX**. SEFDEC is not obligated to reimburse the Grantee for the expenditure of amounts in excess of the total obligated amount.

Article 6. GRANT BUDGET

The approved detailed and total Grant Budget and Budget Notes can be found in **Attachment B**. Formal revisions to the budget may be required on an ad-hoc basis in the event that there is a significant change in cost for a particular budget category. A significant change means expected overspending in an amount of 10% or greater of that major budget category’s current annual budget total. The Grantee is allowed to over or under –spend up to 10% of each major budget category total (Grant Budget Categories identified in **Attachment B**) without requesting a revision of the Grant Budget from CTI-CFF. However, if this change will impact the program activities, the Grantee should receive prior approval from CTI-CFF. Over-expenditure in one category must be offset by under-expenditure in another category. At no time may the total expenditures to be charged to the Grant Agreement exceed the approved budget.

Revisions (modifications) of the Grant Budget shall only be allowed if the request from the Grantee is submitted in writing and is approved in writing by CTI-CFF. The procedure for revision must meet the following requirements:

- a- The request for the revision must be submitted prior to incurring costs which will exceed the 10% limit in major budget category.
- b- The Grantee must complete and submit a form titled “Reallocation / Modification of Budget” (to be provided by CTI-CFF if requested) with the request.

Article 7. PROGRAM REPORTING

- The Grantee shall submit Program Reports on a quarterly basis to the Technical Monitor. Quarter 1 ends xxxxx.

The reports are due by the 15th of the month following the period being reported.

The Grantee will be responsive to requests for programmatic information and results by the Technical Monitor. Should the information be in any way sensitive or incomplete, the Grantee should mark the documents as “DRAFT” to assure that the information is not used inappropriately.

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Article 8. MONITORING AND EVALUATION

The Grantee shall provide Monitoring and Evaluation data on a quarterly basis in conjunction with the Program Reports identified above in Article 7.

Article 9. FINANCIAL REPORTING

A Monthly Financial Report is due by the Grantee by the 15th of the month following the reporting month.

The Grantee shall include with the Monthly Financial Report the following:

1. Photocopies of receipts and payment vouchers for all expenditures.
2. Approved Bank reconciliation and copy of Bank statements
3. Copy of the bank statement.

The legally responsible official will include the following statement in each invoice and certify that the Grantee has implemented the content and intent of the statement to the extent practicable:

"I hereby certify that to the best of my knowledge and belief all costs presented are correct, accurate and complete, and that all amounts are for the appropriate purposes and in accordance with the Grant."

Additional guidance about invoicing format will be provided to the Grantee by the project team.

- Grantee will submit quarterly *accrual* report for Grant expenditures by 10th day of the last month of each quarter.

Article 10. ADVANCES Of FUNDS

CTI-CFF may provide advances to cover immediate Grant expenses for up to 30 days. If program and financial reporting is completed according to the terms of this Grant, and there is no outstanding program, financial, or compliance issues, after receipt of the initial advance, and for each upcoming month (30-day period), the Grantee may submit to the project a *"Request for Advance."* (to be provided). The Advance Request Form is due to the CTI-CFF Grants Manager by the 15th of the month. Monthly advances may be adjusted (increased or decreased) by CTI-CFF based on the cash on hand report. At the end of each quarter from the date of the initial advance, and for every quarter thereafter, the Grantee should submit a *"Liquidation of Advances"* report to liquidate the advances of the previous quarter.

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Article 11. ASSIGNMENT

The Grantee may not assign its rights and obligations under this Grant or engage sub-Grantees or contractors without prior written approval from CTI-CFF.

Article 12. REPORTING OF FOREIGN TAXES

The Grantee will follow the procedures in the standard provision “Reporting of Foreign Taxes (March 2006) for reporting taxation of funds under this Grant. The Grantee should report if any foreign taxes have been paid with USAID funds for commodity transactions over the amount of \$500. Grantee should include in the financial reports all foreign taxes paid and/or recovered. The Grantee should submit to CTI-CFF an annual report on the Foreign Taxes paid, by March 15th of the next year, or at the end of the Grant, whichever is earlier.

Article 13. MARKING

The Technical Monitor will approve all communication materials and publications produced prior to printing, reproducing, disseminating, or airing. The Grantee shall comply with the requirement in 2 CFR 700.16 that all programs, projects, activities, public communications, and commodities partially or fully funded by USAID under this Grant and as defined in 2 CFR 700.16 must be marked appropriately with the USAID Identity of a size and prominence equivalent to or greater than the Grantee’s, other donor’s or any other third parties’ identity or logo. To comply with this regulation, the Grantee shall follow the Marking Plan as prescribed by CTI-CFF.

Article 14. PROCUREMENT AND AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of services and goods under this Grant XXXXXXXX. Non-compliance with this provision will result in disallowance of costs.

Goods: Any procurement of equipment with a unit value of more than \$1,000 must be pre-approved by CTI-CFF.

Article 15. TITLE TO PROPERTY

Title to all property purchased under this Grant shall be vested in CTI-CFF and subject to the conditions in 2 CFR 200.310-316. Property in this Grant is defined as nonexpendable equipment having a value of greater than \$1,000 and useful life of at least 1 year. 60 days before the end of the Grant period, the Grantee shall request disposition instructions from the Project for all items of equipment purchased with Grant funds, if any

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Article 16. SEGREGATION OF FUNDS

The Grantee shall properly segregate Grant funds in a manner acceptable to CTI-CFF. CTI-CFF reserves the right to require the Grantee to establish a separate bank account for Grant funds from which all Grant activities would be paid.

Article 17. RECORDKEEPING, RIGHT OF INSPECTION AND AUDIT

Financial record keeping: The Grantee hereby agrees to record, classify, and report all CTI-CFF – financed costs in separate and segregated Grant-specific financial accounts.

Right of inspection: CTI-CFF reserves the right to review all financial and program-related documentation, transactions, receipts, and any other documents related to proper compliance and oversight up to a period of 3 years after the close-out of this Grant.

ARTICLE 18. EXTERNAL AUDIT

CTI-CFF may require an external audit of project funds at any time during the period of this Grant. If audit costs are not included in the approved Budget, CTI-CFF will amend this Grant to realign the Budget to cover the costs of the audit. The audit firm selected must be pre-approved by CTI-CFF. The scope of work for the audit shall be pre-approved by CTI-CFF and shall include a requirement that the auditors test all material expenditures charged to the CTI-CFF Grant for reasonableness, allocability, and allowability.

The audit report shall include either a separate statement or an integral comment from the auditors regarding their conclusions regarding the reasonableness, allocability, and allowability of these material costs. The audit report shall include the auditors’ recommendations regarding the organization’s compliance with local laws and terms and conditions of this Grant and any recommendations regarding improving internal controls. 2 copies of the audit report with auditor’s recommendations are due to the SEAFADDEC Grants Officer not later than 15 days after the final audit report.

The Grantee will commit to eliminate all the deficiencies stated in the Final Audit Report within 60 days. The Grantee shall refund CTI-CFF for any unallowable costs stated in the Final Audit Report within 30 days.

Article 19. TERMINATION AND SUSPENSION

This Grant may be terminated by CTI-CFF at a date earlier than the Grant Activity Completion Date under the following conditions:

Significant change in the scope of work: If the requirements of the donor or the program change such that the work to be completed varies significantly from the proposed activities.

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Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the Grant Activity Completion Date.

As a requirement of the donor: In the event the donor requests early termination of the Grant.

Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities.

(For Grants-under-Contracts) USAID has a right to terminate the Grant under extraordinary circumstances.

The Grantee will be notified in writing of proposed termination or suspension and outline close out procedures of the Grant.

Article 20. LIABILITY

CTI-CFF does not assume liability for any third party claims for damages arising out of this Grant.

Article 21. DISPUTES

Any dispute under or relating to this Grant shall be decided by the CTI-CFF Grant Officer.

Article 22. ENVIRONMENTAL COMPLIANCE AND MITIGATION (If applicable)

An environmental review will be needed for any activities in the program description to screen for potential environmental impacts and to help develop appropriate safeguards and monitoring measures. The grantee shall review all ongoing and planned activities and collaborate with CTI-CFF and USAID’s Environmental Officer to identify those activities that might have an environmental impact. The USAID Environmental Officer may recommend additional-reviews for activities that may have an impact on the environment.

During the implementation of the activity, the Grantee must ensure that all activities are undertaken in accordance with the U.S. Government’s Code of Federal Regulations (22 CFR 216) regarding environmental soundness. Where indicated, the Grantee will undertake recognized methodologies for Initial Environmental Examinations (IEEs) for specific activities prior to implementation. The Grantee must ensure that CTI-CFF /USAID agreement with the recommendations of the IEE are recorded and must also assure that the recommendations of the IEE are fully incorporated in activity implementation.

Article 23. MANDATORY STANDARD PROVISIONS

Not Applicable to Simplified Grants

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Article 24. PROTECTION OF HUMAN SUBJECTS

Not Applicable to Simplified Grants

Article 25. ORDER OF PRECEDENCE

Any conflict between any of the provisions and attachments to this Grant shall be resolved by applying the following order of precedence:

Articles of this Grant and all Attachments
 Applicable USAID regulations 2 CFR 200, 2 CFR700, & 22 CFR 228.

IN WITNESS OF THEIR AGREEMENT and their acceptance of its terms and conditions, CTI-CFF and the Grantee hereby execute this Grant.

CTI-CFF	[Grantee Name]
Signature:	Signature:
Name:	Name:
Title:	Title:
Date:	Date:

Authorized By:	Authorization Date:
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Annex 5. Fixed Amount Award (FAA) Grant Agreement Template

GRANT AGREEMENT

Between

Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF)

And

[Grantee Name]

Grant Summary:

1. Grant Number	
2. Type of Grant	Fixed Amount Award
3. Grant Activity Title	
4. Grant Administrator	Address:
5. CTI-CFF Grants Officer	
6. Grantee	
7. Grantee's Point-of-Contact	[Insert Official mailing address] [Insert Email address and phone number]
8. USAID Contract Number	
9. Project Title	
10. CTI-CFF Project Number	
11. Period of Grant	Start Date: End Date:
12. Grant Ceiling	
13. CTI-CFF Technical Monitor	
14. CTI-CFF Grant Manager	
15. Incorporated Documents	Attachments A-D
ATTACHMENTS:	
Attachment A: Project Description	
Attachment B: Milestone table and Budget	
Attachment C: Mandatory Standard Provisions for Fixed Amount Awards	
Attachment D: Milestone invoice template	

This Grant is awarded to **XXXX** (hereinafter called "Recipient" or "Grantee") and administered by **Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF)** hereinafter called "CTI-CFF"), under above mentioned award between USAID and CTI-CFF to support implementation of the **XXXXXX** (Project Title) (hereinafter called "Project").

Whereas:

D. This Grant will implement specific activities that will contribute to achievement of the overall Project Objectives.

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- E. This Grant shall not (i) create the relationship of principal and agent, employer and employee, joint venture, or business partnership between CTI-CFF and the Grantee; and (ii) establish privity of contract between USAID and the Grantee.
- F. Authority of Agent: Designated agents on behalf of the Grantee and CTI-CFF are the sole authority authorized to make amendments and any other substantive changes to the Grant Agreement Terms.

Now, therefore, in consideration of the promises and of the mutual covenants and Agreements contained herein, and intending to be legally bound, CTI-CFF and the Grantee hereby agree to the following terms and conditions of this Grant.

Article 1. PROGRAM DESCRIPTION

The purpose of this Grant is to provide support for the activities described in the Program Description in Attachment A of this Grant Agreement.

Article 2. PERIOD OF GRANT

The period of performance for the grant activities is XXXXX to XXXXX.

All activities financed with Grant funds will not commence prior to the Grant Activity Start date, and will be completed and will cease no later than the Grant Activity Completion Date; unless CTI-CFF provides approval of a time extension in writing prior to the specified Grant Activity Completion Date. No Grant award will provide for retroactive funding.

Article 3. CEILING AMOUNT OF AWARD AND BUDGET

CTI-CFF hereby awards the amount of XXXX for the purposes of this Grant. See complete Budget in Attachment B.

Payments will be made to the Grantee upon presentation to CTI-CFF a properly prepared invoice, with a certification that the Milestone being billed has been completed and providing any other documentation required by CTI-CFF specified for that Milestone in the chart below. An invoice format may be provided upon award of this Grant. Each invoice shall include the following: Grant Number, Milestone being billed, and fixed amount associated with that Milestone.

On submission of the invoice for the final Milestone, the Recipient shall certify that the Grant is completed, and the Recipient will make no further claim against CTI-CFF after final payment.

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Article 4. PAYMENT MILESTONES AND DISBURSEMENT SCHEDULE

The approved Payment Milestones and Disbursement Schedule is as follows:

Milestone	Description of Milestone	Required Deliverable	Completion Date (if applicable)	Amount (Local Currency or USD)
1	(Example: Acceptance of a detailed workplan and M&E plan)	Example: Approved workplan and M&E plan, showing concurrence by Stakeholders		
2				
3				
4				
5	Example: Final Report with summary of goals and required indicators	Example: Submitted Final Report demonstrating program goals were met		
Total				\$

Article 5. PROGRAM REPORTING

The Grantee shall submit Program Reports on a quarterly basis to the Technical Monitor. Quarter 1 ends xxxxx.

The reports are due by the 15th of the month following the period being reported.

The Grantee will be responsive to requests for programmatic information and results by the Technical Monitor. CTI-CFF will conduct monitoring of the program activities, including site visits as appropriate.

Article 6. MARKING & BANDING

The Grantee shall follow the procedures outlined in the Standard Provision “Marking under USAID” for marking procedures under this Grant in Attachment C.

Article 7. TITLE TO PROPERTY

Title to all property purchased under this Grant shall be vested in the recipient and subject to the conditions in 2 CFR 200.439. Property in this Grant is defined as non-expendable equipment having a value of greater than \$1,000 and useful life of at least 1 year. 60 days before the end of the Grant

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period, the Grantee shall request disposition instructions from the Project for all items of equipment purchased with Grant funds, if any.

Article 8. RECORDKEEPING, RIGHT OF INSPECTION AND AUDIT

Right of inspection: CTI-CFF reserves the right to review all program related documentation, and any documents related to proper compliance during the implementation of the Grant and up to a period of 3 years after the end-date of this Grant. Therefore, Grantee agrees to maintain records funded by this Grant for the period above.

The Grantee will commit to eliminate all the deficiencies or refund CTI-CFF for any unallowable costs found in resulting Inspection Report within 60 days.

Article 9. TERMINATION AND SUSPENSION

This Grant may be terminated by CTI-CFF at a date earlier than the proposed end-date under the following conditions:

Significant change in the scope of work: If the requirements of the donor or the program change such that the work to be completed varies significantly from the proposed activities.

Reduction or termination of donor funding: In the event USAID reduces funding or terminates funding earlier than the proposed end-date.

As a requirement of the donor: In the event the donor requests early termination of the Grant.

Significant delays or external or internal challenges which have a material impact on the ability of the Grantee to implement the activities.

(For Grants-under-Contracts) USAID has a right to terminate the Grant under extraordinary circumstances.

The Grantee will be notified in writing of proposed termination or suspension and outline close out procedures of the Grant.

Article 10. LIABILITY

CTI-CFF does not assume liability for any third-party claims for damages arising out of this Grant.

Article 11. DISPUTES

Any dispute under or relating to this Grant shall be decided by the CTI-CFF Grant Officer.

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Article 12. ENVIRONMENTAL COMPLIANCE AND MITIGATION (IF APPLICABLE)

An environmental review will be needed for any activities in the program description to screen for potential environmental impacts and to help develop appropriate safeguards and monitoring measures. The grantee shall review all ongoing and planned activities and collaborate with CTI-CFF and USAID’s Environmental Officer to identify those activities that might have an environmental impact. The USAID Environmental Officer may recommend additional - reviews for activities that may have an impact on the environment.

During the implementation of the activity, the Grantee must ensure that all activities are undertaken in accordance with the U.S. Government’s Code of Federal Regulations (22 CFR 216) regarding environmental soundness. Where indicated, the Grantee will undertake recognized methodologies for Initial Environmental Examinations (IEEs) for specific activities prior to implementation. The Grantee must ensure that CTI-CFF /USAID agreement with the recommendations of the IEE are recorded and must also assure that the recommendations of the IEE are fully incorporated in activity implementation.

Article 13. MANDATORY STANDARD PROVISIONS FOR FIXED AWARD AMOUNT TO NONGOVERNMENTAL RECIPIENTS

The Grantee should comply with the Standard Provisions contained in Attachment C.

Article 14. ORDER OF PRECEDENCE

Any conflict between any of the provisions and attachments to this Grant shall be resolved by applying the following order of precedence:

- Articles of this Grant and all Attachments
- Applicable USAID regulations 2 CFR 200, 2 CFR700, & 22 CFR 228.

IN WITNESS OF THEIR AGREEMENT and their acceptance of its terms and conditions, CTI-CFF and the Grantee hereby execute this Grant.

CTI-CFF	[Grantee Name]
Signature:	Signature:
Name:	Name:
Title:	Title:
Date:	Date:

Authorized By:	Authorization Date:
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Annex 6. Grants Closeout Guidance

Grants Closeout Guidance and Checklist

Timeline

- 6 months prior to close out - analyze grantees to determine the cash flow requirements, will any grants need to be extended?
- 60 days prior to expiration of grant period, send close out letter
- 30 days after the expiration of the grant period ensure final reports have been submitted (generally due 30-60 days after grant ends)

Notify Grantees of Closeout

30 -60 days prior to grantee close out, send close out letter with instructions and requirements prior to closing out.

Completing Performance Reports

- Technical/Program staff as appropriate working with M&E Specialist(s) and Grantees ensure that final grant report has been prepared, reviewed, and approved.
- Ensure deliverables have been submitted and milestones/outcomes have been completed (FOGs mandatory).

Financial Reports and Final Grantee Payments

- Receive and review the Final Financial report from each grantee.
 - The report must be reviewed against the approved budget and remaining funds.
 - All receipts and back-up documentation should also be reviewed.
 - Grantees should be requested to address any discrepancies and provide any missing documentation.
- Ensure Final VAT report is included with Final Financial Report.
- Ensure all balances advanced or paid are liquidated and/or refunded to CTI-CFF.
- Review all payments and ensure recorded properly within CTI-CFF’s records, all payments within the obligated value of the grant.
- Ensure Final Cost Share report is included with Final Financial Report, if required.

Inventory Property Reports

- Receive and review full inventory of property purchased under the grant agreement.
- Grantee submits disposition plan with proposed disposition location and condition (Excellent, Good, Fair).
- Project staff determine property that can be disposed without client approval and for items that require client approval, insert into overall project disposition plan.

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Other Miscellaneous Matters

- Ensure any project specific bank accounts have been closed and any interest above \$250 has been returned to the project.
- Ensure any project specific or regulatory audits have been conducted and audit reports are available before project close out.
- Issue final Close Out Modification that de-obligates funds to match the total cumulative expenditures as submitted in the final financial report (not mandatory, but best practice).

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Annex 7. Grants Closeout Report

Closeout Report

		Date Submitted by Grantee	Approved By
Part I – Performance Reports			
	Date Grantee submitted the Final Programmatic Report		
	Date Grantee submitted the Final M&E data/performance indicators		
	Upload a copy of the Final Program Report		
Part II – Financial Reports			
	Date Grantee submitted Final Financial Report (Marked Final)		
	Date CTI-CFF Disbursed final payment		
	Date CTI-CFF Liquidated all financial obligations under the grant		
	Refund to CTI-CFF any balances of unobligated cash that CTI-CFF advanced or paid and that is not authorized to be retained by the recipient for use in other projects (Cost Reimbursement Only)		
	Audited Financial Statements (if required)		
	Final VAT Report (If required)		
	Final Interest earned report on bank account (only for cost reimbursement grants with advances)		
Part III – Inventory and Property Reports			
	Real and personal property inventory report (written and visual)		
	Grantee Disposition Plan		

Notes for Outstanding issues:

Report Prepared and Submitted by:

Authorized By:	Authorization Date:
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Annex 8. Combatting Trafficking in Persons Certification

Combatting Trafficking in Persons Certification

In accordance with Standard Provisions for Non-U.S. Nongovernmental Organizations M15 - Trafficking in Persons (July 2015), [_____] (“Grantee Name”) hereby certifies to the following:

- (1) Grantee has implemented a compliance plan to prevent any prohibited activities identified in paragraph (a) of the above standard provision for Non-U.S. Nongovernmental Organizations M15 Trafficking in Persons (July 2015), and to monitor, detect, and terminate any agent, or lower tier subrecipient their employees engaging in prohibited activities identified at paragraph (a) of the standard provision for Non-U.S. Nongovernmental Organizations M15 Trafficking in Persons (July 2015); and
- (2) After having conducted due diligence, either-
 - To the best of the Grantee’s knowledge and belief, neither it nor any of its proposed agents, subrecipients, or their employees is engaged in any such activities; or
 - If abuses relating to any of the prohibited activities identified in the standard provision for Non-U.S. Nongovernmental Organizations M15 Trafficking in Persons (July 2015)(a) have been found, the Grantee or proposed subrecipient has taken the appropriate remedial and referral actions.

Name/Title of Offeror

Signature

Date

Authorized By:	Authorization Date:
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