

**TITLE: CIB 99-10 Leader/Associate Assistance Instruments**

May 14, 1999

MEMORANDUM FOR ALL CONTRACTING OFFICERS AND NEGOTIATORS

TO: DISTRIBUTION LIST FAC

FROM: Rodney W. Johnson, Director, M/OP

SUBJECT: Leader/Associate Assistance Instruments

**CONTRACT INFORMATION BULLETIN 99-10**

This CIB introduces a new mechanism for grants and cooperative agreements - Leader/Associate grants or cooperative agreements. This CIB sets out policies and procedures for implementing these instruments. For the purpose of simplifying this CIB, the discussion will be in terms of grants for the most part, but the arrangements may be used with cooperative agreements as well.

The basic idea is that a Request for Applications (RFA) will be issued at the request of the Global Bureau, and it will state that a grant (or grants) will be awarded covering a specified worldwide activity and that this Leader grant will also provide that Missions, or other offices, may fund Associate grants under the Leader grant. Each Associate grant shall contain a separate activity description that fits within the broader program description of the Leader grant, as well as separate budget and reporting requirements, but will otherwise be considered to be covered by the terms and conditions of the Leader grant.

The anticipated benefits of this mechanism include: (1) no further competition required for Mission awards under the Leader/Associate grant, (2) simplified Mission award documents, (3) simplified certification by the recipients, and (4) reporting directly to the Missions on the use of Mission funds.

**POLICIES AND PROCEDURES**

An RFA must be issued for every Leader/Associate grant program, and it must be either issued or cleared by the Agreement Officer. These arrangements may not be based on Annual Program Statements, unsolicited applications, or waivers of competition, unless a deviation is authorized in accordance with the requirements of ADS 303.5.3. However, once a recipient is selected pursuant to a Leader/Associate grant program RFA, no further competition or waiver of competition is required for any Associate grants awarded within the terms of the RFA.

The RFA shall clearly state that the competition covers both the initial Leader grant that will provide leadership in the program and regional and/or worldwide activities and all subsequent Associate grants providing field support. In this manner Missions may fund specific activities of the recipient that fit within the RFA/Leader grant program description through Associate grants without further competition. More than one Leader grant

may be issued for a program under the RFA if the Bureau determines that it's appropriate.

It is anticipated that the Leader grant will normally be for five years and may be extended to ten years through non-competitive waiver under the provisions of ADS 303.5.5d1. Associate grants may be issued until the Leader grant expires. The Leader grant may provide for the Associate grants to extend for up to five years. With a non-competitive waiver Associate grants may extend for a total of ten years, but in no event may they extend for more than five years past the expiration of the Leader grant. Also, in no case may a grant extend more than five years into the future at any given time.

After completion of the activities under the Leader grant, the Global Bureau office that originated the grant may choose to provide limited amounts of funding to cover consolidated reporting on lessons learned, or the grant may remain unfunded, but it will not be closed out until five years later, or earlier if all the associate grants have been completed before five years. It is necessary for the Leader grant to continue in force until all the Associate grants are completed because they will not contain separate standard provisions. Instead they will be subject to the provisions of the Leader grant. The standard provisions may be updated as appropriate after completion of the activities under the Leader grant since they will continue to apply to activities being funded under Associate grants.

The RFA for the Leader/Associate grant program shall provide an estimate of the dollar amount of Associate grant awards that are anticipated; however it will not be necessary to amend the Leader grant if the amount of Associate grants exceeds the estimated amount. The Leader grant and each individual Associate grant must specify the total award amount for that instrument.

The required certifications shall be obtained from the recipient prior to award of the Leader grant. Prior to award of an Associate grant, the recipient must affirm that those certifications remain valid, or provide new certifications.

**Attachment 1 contains appropriate language for such affirmation.**

The Leader grant shall require the recipient to provide to the Cognizant Technical Officer in Global a programmatic report, semi-annually or annually, that summarizes activities undertaken, progress made/results achieved, trends, problems, etc. under both the Leader grant and Associate grants.

After M/OP awards the Leader grant, it will send a copy of the grant to all Missions along with any necessary guidance or instructions regarding issuance of Associate grants.

Prior to issuance of an Associate grant, the requesting office or SO Team in the Mission (or USAID/W) shall consult with the Cognizant Technical Office in Global. This will help ensure the technical leadership role of Global and the appropriate use of the mechanism. After receiving Global's concurrence, the appropriate Mission personnel shall request the recipient to provide an application (specific Program Description and budget - SF-424 is not required) to the Mission. The application shall be reviewed by the

appropriate technical personnel, and the Agreement Officer shall be responsible for cost review and negotiation of the final grant. The Mission has the discretion to decide whether or not to award the Associate grant. When the Mission and recipient are in agreement on the program description, budget and any substantial involvement anticipated, the Agreement Officer may award the Associate grant. The Mission activity manager is the Cognizant Technical Officer for the Associate grant.

Regardless of whether the Leader instrument is a grant or cooperative agreement, Missions may issue an Associate instrument of the other type; i.e., an Associate cooperative agreement may be issued under a Leader grant and vice versa.

Missions must, of course, spell out the terms of any substantial involvement in the associate instruments. Such substantial involvement must be consistent with the program description in the RFA/Leader grant (see Ads 303.5.11a and E303.5.11a) as well as with the program subscription for the particular associate award.

In the schedule of the Associate grant, the Agreement Officer shall include appropriate language requiring the recipient to provide a copy of all program and financial reports to the technical office that funded the Associate grant. Additionally, the recipient shall be required to provide a copy of all programmatic reports to the Cognizant Technical Officer in Global. Other things to cover in the schedule include the authorized Geographic Code for procurement if it is different from the Leader grant, cost sharing requirements for the associate grant, and any additional standard provisions, such as Title to and Care of Property (Cooperating Country), that apply to the Associate grant.

File documentation for associate grants shall include 1) consultation with Global; 2) letter to the recipient setting forth mission specific parameters - area of activity, necessary background, Host Country involvement, funds and period limitation, etc. and requesting the recipient to submit an application; 3) recipient's application, 4) memo of PD/budget analysis as may be necessary; 5) copy of final associate grant (copy shall be sent to Global also) with affirmation of certifications; and 6) a copy of the Leader grant.

Att: a/s

**Attachment 1**

**Affirmation of Certifications**

The undersigned affirms that the following certifications provided in connection with the Leader grant (enter grant or cooperative agreement no.) remain valid, or any updated information or new certifications are signed and attached:

"Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs";

"Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transaction";

"Certification Regarding Debarment, Suspension and Other Responsibility Matters - Lower Tier Covered Transactions" from all prospective lower tier

participants;

"Certification Regarding Drug Free Workplace Requirements";

Certification and Disclosure forms for "Restrictions on Lobbying."

By: \_\_\_\_\_ Title: \_\_\_\_\_

Typed Name: \_\_\_\_\_ Date: \_\_\_\_\_