

MILLENNIUM CHALLENGE COMPACT
NIGER
CLIMATE-RESILIENT COMMUNITIES PROJECT
CLIMATE-RESILIENT AGRICULTURE ACTIVITY

CRA Grants Facility
Operations Manual

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ACRONYMS AND ABBREVIATIONS

BDS	Business Development Services
CBA	Cost-Benefit Analysis
CPC	Country Program Coordinator (USADF local office)
CRA	Climate-Resilient Agriculture
ESMP	Environmental and Social Management Plan (Grant/Project Level)
ESMS	Environmental and Social Management System (Facility level)
ERR	Economic Rate of Return
FI	Financial Institution
GDP	Gross Domestic Product
GoN	Government of Niger
GSI	Gender and Social Inclusion
HH	Household
IFC	International Finance Corporation
ITT	Indicator Tracking Table
KPI	Key Performance Indicator
M&E	Monitoring & Evaluation
MCA	Millennium Challenge Account
MCC	Millennium Challenge Corporation
MFI	Microfinance Institution
MOU	Memorandum of Understanding
MSME	Micro, Small and Medium Enterprise
NGO	Nongovernmental Organization
O&M	Operations and Maintenance
PASEC	Projet d'Appui à l'Agriculture Sensible aux risques Climatiques (World Bank Project)
PMC	Project Management Consultant
PRAPS	Regional Project in Support Pastoralist Support in the Sahel
SME	Small and Medium Enterprise
TIP	Trafficking in Persons

UCP PASEC	<i>Unité de Coordination du Programme PASEC</i>
UNOPS	United Nations Office for Project Services
USADF	United States African Development Foundation
USAID	United States Agency for International Development
WB	World Ban

1.0 Introduction

The following section describes the purpose of this grants facility operations manual (Manual), how this Manual will be used in conjunction with the U.S. African Development Foundation (USADF) Operational Manual (USADF Operational Manual), and the role of each actor in the implementation of the Climate-Resilient Agricultural Grants Facility, hereafter referred to as the CRA Grants Facility. This brief introduction will also explain funding for the CRA Grants Facility and planned coordination with other projects and donors.

1.1 Purpose of the CRA Grants Facility Manual

The purpose of the CRA Grants Facility Manual is to provide a technical and operational level description of the CRA Grants Facility, within the Climate-Resilient Communities Project (CRC Project), described in Section 2 below. This Manual describes the CRA Grants Facility, including the CRA Grants Facility structure, program objectives, eligibility and selection criteria, MCC standards as applied to implementation of the CRA Grants Facility, technical monitoring requirements, business development support, and partner and donor coordination.

1.2 Relationship to the USADF Operational Manuals

As the CRA Grants Facility will be implemented by USADF, an independent US government agency which specializes in awarding small enterprise development grants in Africa, on behalf of MCC, this Manual should be considered a supplement to USADF's existing day-to-day procedures, as documented in USADF's operational manuals. Where this Manual addresses or modifies a procedural component in USADF's standard operating procedures, this Manual will take precedence. Otherwise, it is assumed and agreed that USADF will follow their existing documented procedures and processes as outlined in the USADF Operational Manual and other existing tools. Sections 3 through 8 of this Manual outline the process USADF will follow to implement the CRA Grants Facility, following USADF standard processes except in the following instances:

- Eligibility requirements for both Applicants and activities and other requirements specific to the CRA Grants Facility (as per details in Section 3);
- Use of MCC Environmental and Social Screening and Trafficking in Persons Assessment Tools during screening applications, due diligence and short listing (as outlined in Section 3.12, 5.1 and Annex 5 and Annex 7);
- Use of grievance mechanism during Stakeholder Engagement Process (as outlined in Annex 4);
- Requirement of economic analysis and ERR Calculation as per MCC guidance and requirements (as outlined in Section 3.9 and Annex 3);
- Adjustments to the USADF standard scorecard screens to align with Applicant and Activity eligibility and selection criteria requirements specific to the CRA Grants Facility (as outlined in Annex 8);
- MCA-Niger review and 'no objection' of short-list and grant award;

- Recalculation of the ERR prior to approval of a Grant Agreement amendment as outlined in Section 6.7;
- Quarterly reporting and M&E requirements that comply with MCC Compact and CRA Activity requirements (as outlined in Section 8 and Annex 13);
- Grant Close-Out and Asset Disposition Plans reviewed and approved by MCA-Niger for compliance with MCC's Program Closure Guidelines (as outlined in Section 7. 1); and
- Modifications to the standard Grant Agreement template documents (Annexes 11 and 12), including removal of "reinvestment" requirements and conditional grant awards

1.3 CRA Grants Facility Governance

MCC and the Government of Niger entered into a Millennium Challenge Compact dated July 29, 2016 (the Compact). The Government of Niger designated Millennium Challenge Account Niger (MCA-Niger) to implement the Compact program on the government's behalf. The Government of Niger agreed that MCC may administer the CRA Grant Facility. MCC, in turn, entered into an Interagency Agreement as of November 15, 2018 with the USADF regarding the implementation, management, and administration of the CRA Grants Facility (the IAA), which is one activity funded under the Compact. The governance structure of the CRA Grants Facility is described below.

- **MCC** – Responsible for overall funding and administration of the CRA Grants Facility; provides oversight and guidance to USADF and its Partner
- **USADF** – Responsible for administration and management of the CRA Grants Facility, supporting grantees with capacity building/business development services, and delivering a successful program as outlined in this Manual and the IAA. USADF screens, selects and awards grants, and oversees proposal development and grant design, grant implementation, monitoring and close-out, with the assistance of USADF field office staff in Niger (referred to as the Country Program Coordinator (CPC)) and the USADF technical assistance partner organization in Niger (referred to as Partner)
- **MCA-Niger** – Responsible for implementation of the Compact; provides support to USADF for the CRA Grants Facility, if needed and maintains a right of no objection on USADF selection recommendations

1.4 Funding and IAA

The USADF will implement and administer the CRA Grants Facility with funds provided by MCC under the IAA. The CRA Grants Facility will focus on funding a comprehensive set of interventions that include durable assets (infrastructure and equipment), operating capital, and training and technical assistance that will include Business Development Services (BDS) to target Applicants and Grantees. USADF will provide direct funding to Grantees that are competitively selected via the process defined in this Manual for grants that fulfill the CRA Grants Facility purpose as defined in the Compact. USADF will also provide funds to its Partner in Niger through a cooperative agreement between USADF and its Partner to provide monitoring support, BDS, and other technical assistance to Grantees. Additionally, funds may be included in grant budgets to

provide Grantees with resources such as staff, contractors or attend training offered by third parties to supplement their programmatic capacity, but this does not replace the baseline BDS support offered by the Partner.

1.5 Donor Coordination and Coordination with other Compact Activities

Donor Coordination

As described in Section 2.2, the World Bank will finance complementary components of its Climate Smart Agriculture Support Project (PASEC)¹ in the 16 targeted communes where the MCC financed Climate Resilient Agriculture Activity (CRA Activity) will be implemented. Close coordination of the CRA Grants Facility (and its BDS activities) and PASEC activities is critical to ensure complementarity and synergies, including coordination on delivery of PASEC training to all shortlisted Applicants. In addition, MCA-Niger managers of the CRA Activity and USADF will coordinate closely to ensure eligible Applicants in the communes of Gaya and Tanda not covered by PASEC activities are provided needed BDS and technical support needed to submit grant application.

Coordination with the Compact Private Sector Mobilization and Engagement strategy

MCA-Niger has dedicated resources to develop a Private Sector Mobilization and Engagement Strategy that aims to stimulate private sector engagement around the beneficiaries of Compact investments in order to ensure sustainability. As part of this overall effort to engage and foster private sector provision of services and goods to Compact beneficiaries in general and beneficiaries of the CRA grant facility in particular, USADF and its Partner will coordinate with the MCA-Niger to:

- Raise awareness and engage in outreach and communication campaigns to mobilize the private sector to appropriate the mechanisms and procedures of the grant facility
- Promote synergy and partnerships between grant applicants / recipients and other players in the private sector
- Stimulate agricultural entrepreneurship at the level of women and youth entrepreneurs' associations
- Promote innovation and the adoption of new technologies from production to marketing
- Mobilize financing / additional investments

¹ The PASEC Project is the Climate Smart Agriculture Support Project from the World Bank or its name in French “*Projet d'appui à l'Agriculture moins Sensible aux risques Climatiques*”. It is the equivalent of the Climate Smart Agriculture Activity (CRA Activity) financed by MCC under the CRC Project.

2.0 The MCC Niger Compact and Context for the Grants Facility

The following section provides a brief overview of the MCC Niger Compact and the context and rationale for the CRA Grants Facility. The CRA Grants Facility is a sub-activity in the CRC Project, with a focus on agriculture development in regions of Niger that face environmental challenges and high rates of poverty driven in part by low agriculture productivity and limited market access.

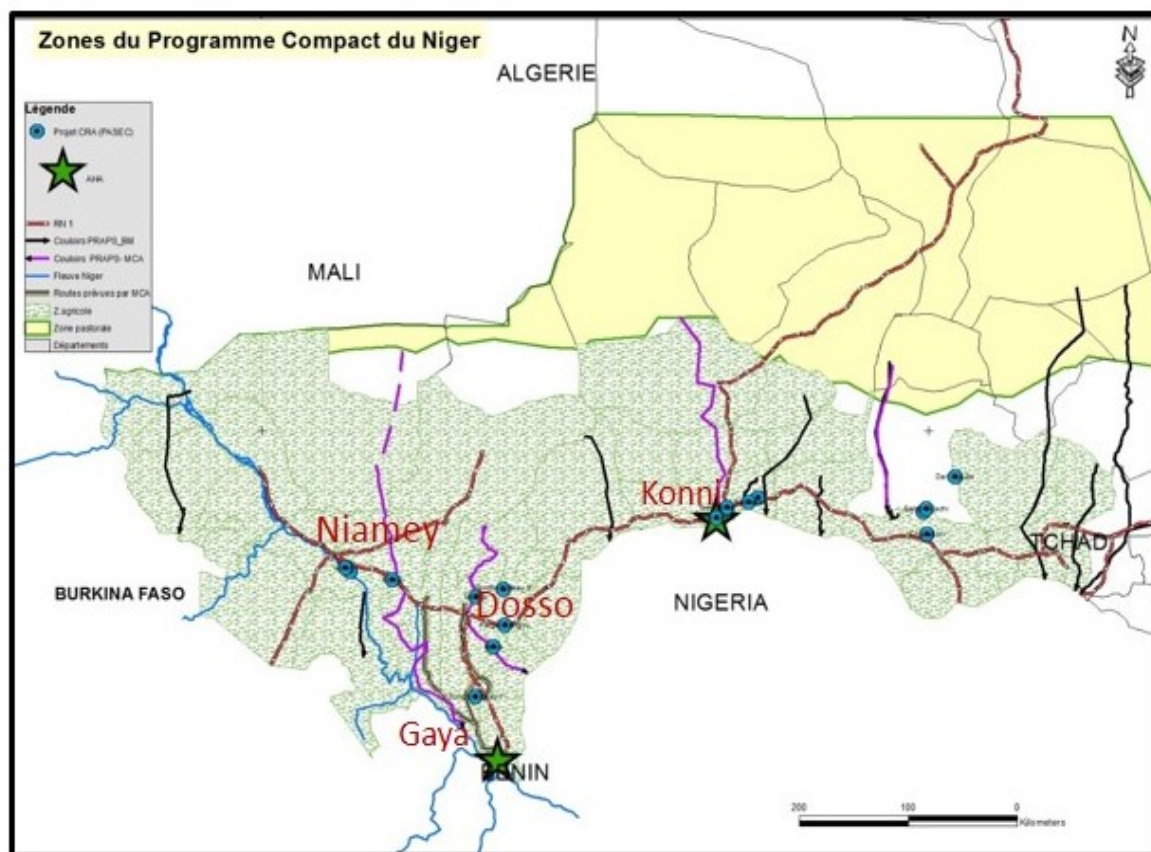
2.1 MCC Niger Compact Overview

On July 29, 2016, the Government of Niger (GoN) and the Millennium Challenge Corporation (MCC) signed a \$437 million compact (the Compact). Niger's agricultural sector employs more than 80 percent of the population and contributes to 40% of the GDP; however, frequent droughts and floods exacerbated by climate change and a lack of access to critical infrastructure, inputs, financing, information, and markets have led to stagnation of agricultural productivity and persistence of poverty. The objective of the Compact is to increase rural incomes by improving the sustainable productive use of natural resources for agricultural production and improving trade and market access for agricultural products. The Compact consists of two projects described below. Full information on the MCC Niger compact and these projects can be found at <https://assets.mcc.gov/content/uploads/2017/05/niger-compact-signed.pdf>.

- 1) Irrigation and the Market Access Project** – This project will improve irrigation in the Dosso and Tahoua regions of Niger, including the rehabilitation and development of three large-scale irrigation systems, to increase crop yields and sustainable fishery and livestock productivity. The project will upgrade road networks to significantly improve access to markets and services, provide technical support for farmers, with a focus on women and youth, to improve performance of their businesses, and establish market platforms to competitively position farmer groups in the marketplace. In addition, the project will support the GoN in the reform of policies and institutions, including the development and implementation of a national fertilizer reform strategy, national water resource management plan, and natural resource and land use management plans.
- 2) Climate-Resilient Communities Project (CRC Project)** – This project will increase incomes for small-scale agriculture-dependent and livestock-dependent families in eligible municipalities in rural Niger by improving crop and livestock productivity, sustaining natural resources critical to long-term productivity, supporting growth of agricultural enterprises and increasing market sales of targeted commodities. The CRC Project consists of two activities: the Regional Project in Support of Pastoralism in the Sahel (PRAPS²), which focuses on livestock development, and the Climate Resilient Agriculture Activity (CRA Activity), which focuses on agricultural development. The CRC Project targets interventions in the regions of Tillabéri, Dosso, Tahoua and Maradi.

² *Projet Régional d'Appui au Pastoralisme au Sahel*
Niger Grant Facility Manual | 2018

Figure 1. MCC-Niger Compact Program Map



2.2 Climate Resistant Agriculture and the World Bank PASEC Project

The Compact-funded CRA Activity and World Bank PASEC Project are coordinated efforts with similar scopes and objectives designed to increase revenues and build resilience of rural households and businesses dependent on agriculture in 62 communes in all seven regions of Niger. CRA Activity and PASEC Project interventions will be implemented in different geographic locations and where there is overlap they will not fund similar investments in the same geographic area, requiring on-going coordination as described in Section 1.5.

More specifically, the Compact co-finances some components of the World Bank PASEC Project under the CRA Activity in 16 out of the 62 communes in four regions: Dosso, Tahoua, Maradi and Tillabéri. The PASEC Project is implemented through the UPC PASEC³ under the Ministry of Agriculture and Livestock, while MCA-Niger is responsible for the implementation of the CRA Activity. The components of the PASEC Project and CRA Activity are as follows:

³ The PASEC Coordination Unit (*Unité de Coordination de Programme PASEC*) is an entity created for the implementation of the World Bank PASEC project and is responsible for the technical and financial execution of the project. It operates under the Ministry of Agriculture and Livestock.

- 1) **Financing of public or quasi-public infrastructure.** The objective of this component is to improve access to basic infrastructure services (water, energy, roads) and to promote the restoration of natural resources and their sustainable management to increase productivity and resilience. Public infrastructure projects will be selected via *Integrated Climate Resilient Investments Plans* (ICRIPS)⁴ at the commune level. ICRIPS will be developed based on Commune Development Plans through a participatory consultation process which prioritizes the most needed investments in public or quasi-public infrastructure. The World Bank will implement this component in 46 communes while MCC will implement this in 16 communes.
- 2) **Provision of training and technical assistance to producers, producer organizations, or agribusinesses.** The objective of this component is to facilitate the adoption of improved technologies for climate resilience. PASEC will fully finance this component in all 62 communes, including the 16 communes targeted by CRA Activity. Based on demand by producers' groups, PASEC will use approaches including field schools, listening circles, innovation platforms, demonstration plots, etc. to promote technology transfer.
- 3) **Provision of grants and business development services to MSMEs, cooperatives and other rural groups (women and youth).** The objective of this component is to provide much needed capital and improved business management capacity to agribusiness so in turn they can improve their performance, increase their productivity and expand their businesses. The World Bank will provide grants in 46 communes while CRA Grants Facility under the MCC Compact will target 18 communes, 16 of the communes targeted for the first component (ICRIPS) and 2 additional communes targeted by MCC for large scale irrigation.

Table 1. CRA-PASEC Project Financing

CRA-PASEC Project Financing from MCC Compact and World Bank				
	Components	MCC Compact	World Bank	Communes Covered
1	ICRIPS Infrastructure Projects	USD 32 M	USD 48 M	62 communes total: - WB: 46 communes - Compact: 16 communes - Compact irrigation perimeters not included
2	Training and Technical Assistance	USD 1.6 M (part of \$7.9 M budget under the MCC Irrigation and Market Access Project)	USD 53 M	64 communes total: - WB: 62 communes (16 from MCC) - Compact: 2 communes in the irrigation perimeter (Tanda and Gaya)
3	Grant Facility	USD 9 M (includes BDS)	USD 10 M	64 communes total: - Compact: 18 communes - WB: 46 communes
	Total	USD 47.4 M	USD 111 M	

⁴ In the World Bank Projects the Commune Plans are called SPIC-ACEC (*Sous Projets sous-projets intégrés communaux d'agriculture sensible aux risques climatiques*). *Integrated Communal subprojects for an agriculture sensitive to climate risks*.

2.3 CRA Grants Facility Overview

The Compact-funded \$9 million CRA Grants Facility is part of the larger CRA Activity under the MCC compact, implemented in coordination with the World Bank PASEC Project. The CRA Grants Facility (as the PASEC equivalent in 46 other communes) will target producer/processor groups, women's groups, youth groups, and micro, small, and medium-sized enterprises in 18 communes in 4 regions, including the 16 CRA Activity eligible communes and 2 additional communes (Gaya and Tanda) which benefit from MCC's Irrigation and Market Access project. (See Annex 1 for list of eligible communes).

The CRA Grants Facility will focus on five categories of project activities for funding: (1) irrigation and irrigated production (including post-harvest and storage); (2) rain-fed production (including post-harvest and storage); (3) livestock integration; (4) agro-processing and sales; and (5) input supply. The business development services provided to Applicants and Grantees will support (i) initial outreach and pipeline development; (ii) business plan and grant proposal development; and (iii) business advisory and technical support for Grantees during implementation. Sections 3 – 5 of this Manual outline the process by which USADF and its Partner will identify and award grants as well as provide on-going support to Grantees.

In the current business environment, available evidence suggests that MSMEs, cooperatives, and women and youth in the agriculture sector are unable to access the finance required to grow and expand their operations and the sector overall. For Grantees from these targeted groups, the CRA Grants Facility is designed to provide financing for investments in productive assets and business development services that these groups are unable to access otherwise. Grants will be made for investments in projects that strengthen the resiliency of producers, agricultural enterprises and agro-pastoralists to climate related shocks. They are also meant to encourage and facilitate the incorporation of innovative technologies and environmentally sustainable practices to mitigate risks related to climate shocks and support growth.

2.4 Rationale for a Grants Facility

As discussed in Section 2.5 below, available evidence suggests that private sector financing is scarce for the groups targeted under the CRA Activity. The provision of grants and business development services under the CRA Grants Facility can be good instruments to address the under provision of services and stimulate and incentivize private sector investment – addressing concerns related to market distortion and “crowding out” of the private sector. Additional concerns over provision of grants to non-bankable projects that also often surface around grants facilities will be addressed through competitive selection process on the basis of profitability, sustainability and the number of beneficiaries.⁵ Furthermore, all proposed projects and activities must meet a mandatory minimum economic rate of return of 10% and include business plans to demonstrate social impact

⁵ The question of how targeting can be improved should be the subject of an ongoing learning initiative.

in terms of the number of direct beneficiaries. The Consolidated Screening, Submission and Scoring Tool (Scorecard) and its five screen process discussed in detail in Section 5.1 incorporates these considerations within its selection process.

2.5 Overview of Financial Sector in Rural Niger

Low bank penetration. Rural micro, small and medium size enterprises as well as cooperatives in Niger operate in an environment where services by financial institutions are very limited. Although there is a high cost for banks and MFIS associated with establishing operations in rural areas, it is not clear if this is the only major obstacle or if banks have made decisions not to operate in rural areas due to low demand for financing or lack of attractive investments. The result is the same, banks and MFIs are concentrated in Niamey and a few other urban centers but poorly represented in the rural areas and financial services in rural Niger (including credit) are very limited or non-existent. According to 2017 BCEO Report 6, Niger had only a 6.2% rate of bank penetration while other countries in the West Africa region have rates ranging from 13% to 23%. The penetration rate of the microfinance sector is even lower, estimated at only 1.5%, compared with the West Africa regional average of 15%. A World Bank study that analyzed the effect of geography in the access of basic financial services in Niger; suggests that distance to financial services indeed constitute a major barrier to access to financial services, particularly for the poor. To cope with the effects of geographical distance, microfinance institutions adapt their policies through more restrictive loan terms and conditions, higher interest rates, and more intensive screening.

Low rates of lending to the agriculture sector. Additionally, the financial sector concentrates its lending in the mining, transport, communications, commerce and service sectors. Lending to agriculture and agribusiness in Niger represented only 0.94% of the total loans granted by banks. Within the subsector of Financial Decentralized Services (SFD)—namely credit and savings cooperatives, 17% of the loan portfolio was allocated to agriculture.

In 2011, to address this lack of provision of credit to the agriculture sector, the Niger authorities decided to create a bank specialized in the financing of agriculture, namely the Agricultural Bank of Niger (BAGRI). BAGRI is subject to compliance regarding reserves⁷, portfolio diversification and risk management and therefore it cannot be deployed only to the agricultural sector, nor offer different terms or conditions. In 2014, only 12.75% of BAGRI's loan portfolio went to the agricultural sector, which highlights the fact that even when a bank is created with a mission to support the agriculture sector and the agriculture loans are backed up by loan guarantees, the level of financing for agriculture remains significantly below what is needed to help the sector grow.

Informal saving structures. Some evidence suggests that there is indeed an unmet demand for financing and basic banking services. World Bank Global Findex Database⁸, which measures

⁶ Banque Central des Etats de l'Afrique d'Ouest, Note d'Information #52, 2017.

⁷ <https://openknowledge.worldbank.org/handle/10986/6388>

⁸ Global Findex Database, 2018. <https://datacatalog.worldbank.org/dataset/global-financial-inclusion-global-findex-database>

Financial Inclusion around the world, suggest that 61% of the population in Niger saved in 2014 using other types of informal structures for savings such as savings clubs. Of those who saved, 24% indicated they saved for investment specifically for their farms or agribusiness.

2.6 Why Co-Financing Requirement?

The objective of the CRA Grants Facility and the provision of grants and business development services is not only to support MSMEs, cooperatives and other targeted groups with capital investments but to educate them on how to make proper business investment decisions and take risks. The co-financing or cost sharing of a grant is a way to introduce and/or foster a progressive taking of some additional risks by Grantees needed to grow their businesses. At the same time, cost sharing will address sustainability concerns and allow USADF and its Partner to minimize the risk for the project as Grantees take partial ownership of the risk and to reward and prioritize those businesses that are willing to take a higher level of risk than the minimum required.

In addition, since co-financing is defined as either self-financing or financing via credit, there is a greater objective for those Applicants who could be considered ready for external financing. USADF and MCA-Niger will facilitate and support the application for a credit to obtain the co-financing. The idea is to leverage the grant and business investments for credit to reduce the risk for the MFIs or Banks and establish a business relationship between the Grantees and the financial institutions.

The cost sharing and shared risk taking along with the potential inclusion into the financial sector are likely to contribute to the sustainability of the business. These businesses will be in a stronger financial position the next time they have a market opportunity and need financing.

2.7 The Importance of Business Development Services

Although capital investments are necessary to support the growth of agribusinesses and cooperatives, it is not sufficient to ensure that the investment yields the expected outcomes. Proper business administration and financial management and strategic planning are critical to the sustainability of a business. Business development services (BDS) can enhance the performance of individual businesses, allowing them to compete more effectively, operate more efficiently and become more profitable.⁹ Ultimately, BDS allow firms to focus on their core competencies, and understand and identify services they could and should outsource, and can also provide businesses with knowledge and resources to innovate and growth.

There is some evidence that BDS have a positive impact on productivity and return on assets. A randomized control trial with 432 small and medium enterprises in Mexico shows positive impact of access to one year of management services (marketing, financial accounting, and long term business planning) on total factor productivity and return on assets; the study found a persistent

⁹ Committee of Donor Agencies for Small Enterprise Development, 2010.

large increase (about 50 percent) in the number of employees and total wage bill even 5 years after the program.¹⁰

In Niger, 41.4% of formal SMEs indicate that on average they only utilize 60% of their production capacity¹¹. These data points suggest that firms in Niger are likely making investments without proper market research of their demand, which leads them to operate under capacity and over investment. The type of BDS that is offered by the CRA Grants Facility help the firm in determining the appropriateness of the investment, the timing, and the amount, as well as helping Grantees with financial, HR and strategic management and guiding them through regulations and legal issues. All of this support will ensure the success of the agribusinesses and will increase the likelihood that the investment the program makes in their business will lead to results.

2.8 Program Logic

The objective of the CRA Activity is to increase the quantities and the value of products sold by rural households and businesses in Niger in the zones of intervention, in order to increase their revenues and to enhance their resilience to climate shocks. The CRA Activity will contribute to that objective by implementing an integrated approach that includes investment in public infrastructure, restoration and improved management of natural resources, training and technical assistance to improved productivity, business development services, and grants to MSMEs, cooperative and other rural groups including women and youth groups. The logic of the intervention is that with improved access to physical infrastructure, improved resilience of their natural capital, financing and technical assistance business can grow and become more resilient.

The Grants and BDS will provide MSMEs, cooperatives and groups of women and youth access to much needed finance, improved business management skills and will allow them to be better positioned to access credit in the future. As discussed above, the CRA Grants Facility is expected to foster investments in productive assets and leverage additional financing; which in turn will facilitate adoption of improved technology and will contribute to increased productivity, quality and competitiveness of their business. Increased productivity and competitiveness will in turn increase the sales and revenues for agribusinesses.

The key assumptions that drive the CRA Activity and CRA Grants Facility program logic include:

- The World Bank provides high-quality and needed trainings early enough in the compact timeline for the MCA-Niger supported communes to apply learning
- Applicants and Grantees have adequate literacy and numeracy skills to learn and apply skills offered by BDS and other technical assistance

¹⁰ The Impact of Consulting Services on Small and Medium Enterprises Evidence from a Randomized Trial in Mexico. Dean Karlan, Northwestern University, Innovations for Poverty Action and National Bureau of Economic Research and Antoinette Schoar, Massachusetts Institute of Technology, National Bureau of Economic Research, and Ideas

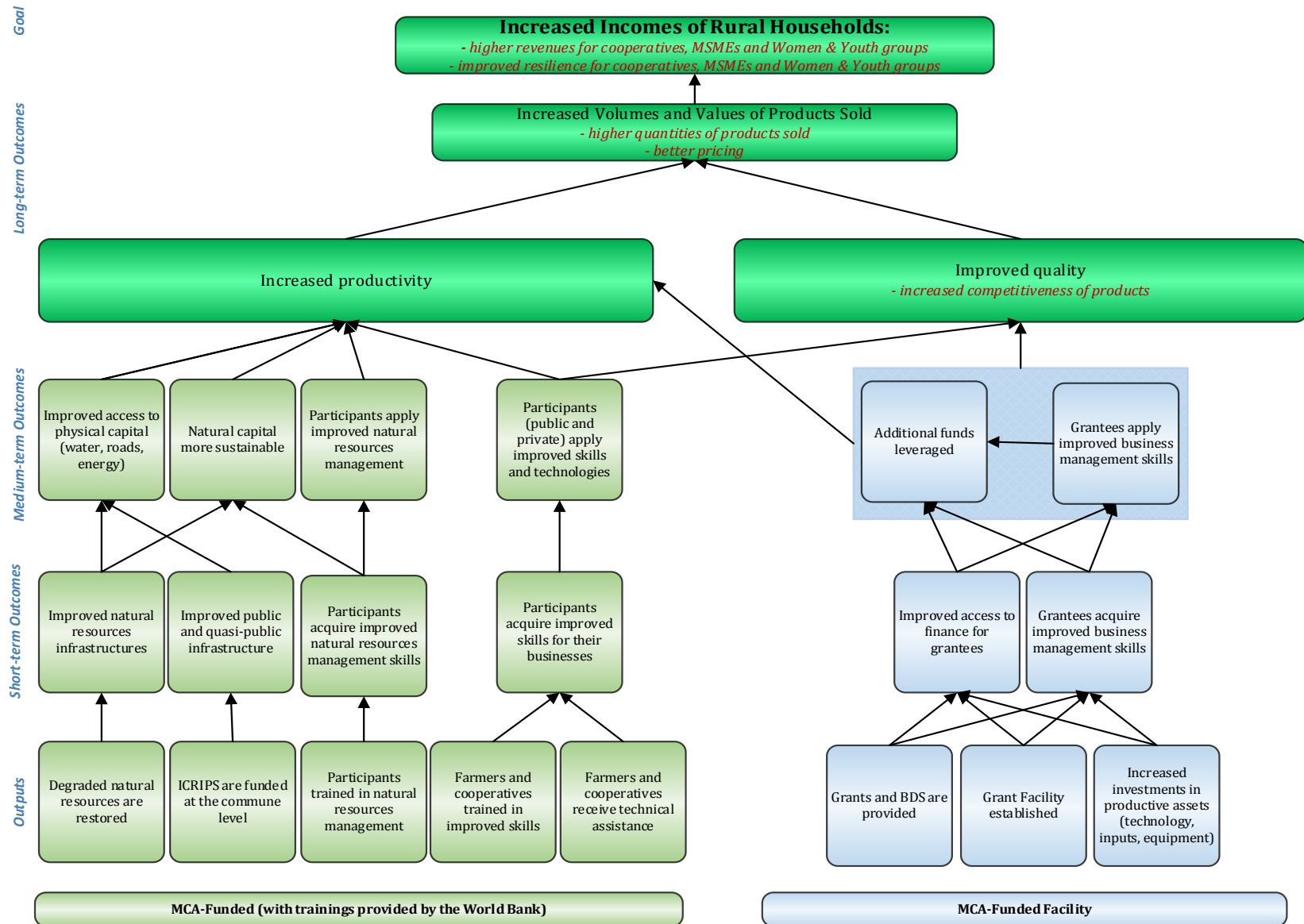
<https://openknowledge.worldbank.org/bitstream/handle/10986/15867/WPS6508.pdf?sequence=1&isAllowed=y>

¹¹ World Bank Enterprise Surveys, 2017. <http://www.enterprisesurveys.org/data/exploreeconomies/2017/niger#firm-characteristics>

- Local banks are willing to provide affordable loans to Grantees both during and after program closeout

Figure 2 on the following page depicts the program logic for the CRA Activity and the role of the CRA Grants Facility in achieving the CRA Activity objectives. Performance indicators associated with the CRA Activity are available in the following link: [CRA Activity Performance Indicators](#).

Figure 2. Program Logic for CRA Activity and Role of Grant Facility



3.0 CRA Grants Facility Parameters

The following section outlines the features and parameters specific to the Niger CRA Grants Facility, including budget, eligible applicants and activities eligible for funding, specific targets for social inclusion and geographic diversity and the co-financing requirements for Applicants. This section also provides a high-level summary of environmental and social assessment requirements. Parameters and features outlined in this section will inform the outreach strategy, Request for Applications and selection criteria discussed elsewhere in this Manual.

3.1 CRA Grant Facility Budget and Illustrative Grants Breakout

The CRA Grants Facility aims to award approximately 65 grants over two grant cycles, totaling \$7,500,000. Grant sizes may range from \$10,000 USD to no more than \$250,000 USD and will be awarded under three categories as outlined in Table 2. Projects expected to have the greatest impact on local communities and beneficiaries will be prioritized. Eligible Applicants as described in Section 3.2 from all three categories can apply for any size of grant provided they have the need and capacity to manage the requested funding levels and can meet co-financing requirements. Grantees that receive larger grants will have to provide larger cost-share and co-financing contributions (See Section 3.6 for details on Grantee contribution requirements).

Table 2. CRA Grant Facility Budget and Illustrative Grants Breakout¹²

	Grant Size	# of Grants	Value (USD)	USD (%)
1	\$100 - \$250k	25	\$5,000,000	67%
2	\$50 - \$100k	15	\$1,500,000	20%
3	\$10 - \$50k	25	\$1,000,000	13%
		65	\$7,500,000	100%

Projects selected for project development and eventual grant award may include some combination of durable assets (infrastructure and equipment), operating capital, and training and technical assistance as needed for the project and defined in the application and final proposal. The Partner may provide BDS directly with their staff or hire contractors during proposal development and/or implementation. Supplemental technical capacity building may be included in grant budgets for Grantees to hire staff, contractors or attend training offered by third parties if it is deemed necessary for them to successfully implement their project. Projects that consist of training or technical assistance alone will not be eligible.

¹² Illustrative. Targets to be re-evaluated after completion of Round 1 and/or after Initial Screening and Shortlisting process (Steps 2 – 4). Any material changes in targeting to be agreed with MCA-Niger and MCC. This Manual to be amended as/if appropriate.

3.2 Eligible Applicants

The CRA Grants Facility will provide grants and accompanying business development services to eligible Applicants from MCC's sixteen (16) CRA eligible communes and the two (2) large-scale Dosso-Gaya irrigation perimeter communes in Tanda and Gaya – for a total of 18 eligible communes. The complete list of Eligible Communes is provided in Annex 1. Eligible Applicants from all three categories below can apply for any size of grant provided they have the need and capacity to manage the requested funding levels and can meet co-financing requirements. As described in Section 4.1, the Partner will provide support in getting organizations registered as appropriate.

The three categories of eligible Applicants are described below.

- 1) **Cooperatives and Producer/Processor Groups** – These include cooperatives and groups registered with the Government of Niger or an official local/regional body that is engaged in some form of productive or value-addition activity in the agricultural sector. Groups who are not yet registered need to be registered before signing of a Grant Agreement and must provide verification of prior commercial activity as a group for at least one year.
- 2) **Women's Groups and Youth Groups** - These include groups of women and/or youth engaged in some form of productive or value-addition activity in the agricultural sector. Eligible groups include women's savings groups formed as part of MCC's Irrigation and Market Access Project and existing savings groups with a record of operation. Groups need to fulfill one of the following criteria in order to receive grant funds: (1) be registered with the Government of Niger or other official body as a women's group or a youth group; (2) obtain a recommendation from a reputable NGO or MFI as a women's group, savings group, credit group, or youth group (youth groups may also obtain recommendation from a reputable educational institution); or (3) if not yet registered or do not have NGO/MFI recommendation at the time of application, need to register during application process and meet USADF assessment of commitment to the project (which may include demonstration of prior commercial activity as a group). Women's groups must have 100% women's control and participation in leadership and a minimum of 95% women membership. Youth groups must have 100% control and participation of the leadership and a minimum of 95% youth membership. Youth is defined as being between the ages of 15 and 35. Groups who are not yet registered need to be registered before signing of Grant Agreement and must provide verification of prior activity as a group for at least one year.
- 3) **Micro, Small, and Medium-sized Enterprises (MSMEs)** – These include micro, small, or medium-sized enterprises in the agricultural sector that can provide documentation or other verification of prior engagement in commercial activity. Established farms registered as MSMEs and operating on a commercial basis for a least two years are eligible.

Enterprises determined to be opportunistically formed solely for the purpose of accessing grant funds will not be eligible. MSMEs must provide verification demonstrating operations as a business for at least 2 years and completion of registration before signing of Grant Agreement.

NOTE: *Individuals not registered as a business are not eligible for funding under the CRA Grants Facility. A registered business with an individual proprietor is eligible.*

A more detailed list and description of eligibility requirements and restrictions is provided in Annex 2. Applicant eligibility will be evaluated in Initial Screening (Section 5.1, Application and Selection Process, Step 2) based on an application and requested documentation.

3.3 Social Inclusion Targets

A key objective of the CRA Grants Facility is facilitating greater social inclusion in access to agricultural entrepreneurial and commercial activities. Therefore, the CRA Grants Facility aims to award a minimum of 20% of the total value of grants awarded (or \$1,500,000 if total budget is awarded) to women and/or youth groups as defined in Section 3.2 above and corresponding Annex 2. This target will be monitored and tracked as a Key Project Indicator (KPI) in the Grants Facility Monitoring and Evaluation (M&E) Plan (as per Section 8.3). In addition, grants awarded in the other two categories (Cooperatives and Producer/Processor Groups and MSMEs) will be disaggregated by gender and total number of grants to women owned and operated businesses and operations will be tracked and reported.

In order to ensure that the grants reach their targeted beneficiaries, particularly women's groups and youth groups, USADF will develop an Outreach and Community Engagement Plan that addresses the challenges women and women's groups face in order to ensure that the CRA Grants Facility maximizes accessibility. The Outreach and Community Engagement Plan is discussed in more detail in Section 4.1.

3.4 Geographic Targets

The CRA Grants Facility will aim to ensure an adequate distribution of proposals from target geographies with a minimum of at least one grant awarded (of any size) in each of the 16 eligible communes supported under the CRA Activity. In addition, and in order to ensure that cooperatives and producer groups in the two large-scale irrigation perimeters communes in Tanda and Gaya are able to access financing for their productive projects during and after the restructuring of water cooperatives into Water User Associationsⁱ, the CRA Grants Facility will award a minimum of two grants in each of these communes.

As with the Social Inclusion Targets, during outreach and community engagement process (Section 4.1), USADF will maximize efforts to increase Applications from all 18 eligible communes. As outlined in Section 1.5, special attention will be made to ensure eligible Applicants from the two irrigation perimeter communes of Tanda and Gaya are supported to be prepared to

apply for grants under the CRA Grants Facility. Given that many of the cooperatives and/or producer groups will be receiving training in 2019 and 2020 and therefore may not be ready to apply for a grant during the first round, USADF will ensure that adequate grant funds and BDS are available during the second round to achieve above targets for Tanda and Gaya communes.

3.5 Activities and Projects Eligible for Funding

The below five categories of project activities are eligible for funding:

- 1) Irrigation and irrigated production (including post-harvest and storage)
- 2) Rain-fed production (including post-harvest and storage)
- 3) Livestock integration, including integrated fish farming
- 4) Agro-processing and sale
- 5) Input supply

Within these broad categories, eligible activities are categorized based on whether they comply with the PASEC program objectives as defined by the World Bank. The PASEC framework decomposes the overall concept of climate resilient agriculture into three criteria that can be used to determine whether activities address the overall objective of climate resilience – (1) whether they augment productivity (or reduce productivity losses); (2) whether they support resilience through income diversification; and/or (3) whether they mitigate environmental or climate risk impact. Projects should meet at least one of these three criteria to be eligible for funding under the CRA Grants Facility.

NOTE: There are no specific targets related to distribution of project activity types.

Table 3 below provides an illustrative (but not exhaustive) list of activities under each of the five categories of activities that meet one or more of the three criteria of productivity, resilience and climate risk mitigation. Projects may integrate more than one eligible activity into a project plan.

Additionally, the following three activity categories are eligible for grant funding if they are integrated into project plans that fall into one of the five categories above.

- Productive partnerships that support agricultural sector growth
- Research and development for productive inputs, climate resiliency practices and technologies
- Marketing, promotion and trade activities for groups, associations and MSMEs

Table 3. Illustrative List of Eligible Activities for CRA Grant Funding

<i>Activity</i>	PASEC Climate Resilient Objectives		
	<i>Productivity</i>	<i>Resilience</i>	<i>Mitigation</i>
I. Rain-fed crop production			
Production and/or distribution of drought-tolerant seeds	X	X	
Purchase of agricultural equipment and machinery	X		
Conservation agriculture and integrated soil fertility management (zai, mulching, fertilizing trees, crop rotation, etc.) as complementary investments	X	X	X
Devices preventing wind erosion (live fences, wind-breaks) as complementary investments	X	X	X
Compost production	X	X	X
Storage infrastructure and other technologies to reduce post-harvest losses (transport)		X	
II. Small-scale irrigation			
Irrigation sale and service/maintenance shops (e.g. drip irrigation, solar irrigation, treadle pumps)	X	X	
Purchase of individual pumps and pipes	X	X	
Purchase water conservation technologies for water distribution (e.g. drip irrigation, California system.)	X	X	
Wells and bore holes for small-scale irrigation	X	X	
III. Livestock integration			
Production and distribution of fodder	X	X	X
Production of inputs that contribute to small ruminant and cattle rearing and fattening	X	X	X
Irrigated fodder production, processing, harvest storage units - natural and/or irrigated	X	X	X
“Cattle Nutrition block” processing and storage units	X	X	X
Village poultry production (initial stock, housing, feed storage)	X	X	
Intensive fish production	X	X	
Purchase and/or construction of animal enclosure units	X	X	
IV. Agro-processing			
Processing and sale of non-timber forest products not prohibited by the IFC Exclusion List		X	
Sorghum, rice, millet, cowpea processing and sale		X	
Meat and fish processing and sale		X	
Fruit and vegetable drying, storage, and processing		X	
Oilseed and legume processing		X	
Processing and sale of other cash crops – e.g. moringa, gum arabic, etc.		X	
Dairy collection, cooling, storage and processing, central plant	X	X	
Secondary dairy cooling plants (small size in villages)	X	X	
Milk transportation equipment		X	
V. Input delivery			
Compost manufacturing and sale	X	X	X
Retail shops for seed and input sale	X	X	X
Seed production and sale	X	X	X
Small scale feed mills and feed storage	X	X	X
Retail shops for feed and veterinary medicine - Feed shop	X	X	X

3.6 Grantees Contribution Requirements

Grantees are expected to provide cost-share contribution (i.e. co-financing) into the project to help ensure they are both committed to the project and have some demonstrated capacity to implement the project and will be required to document and quantify all their contributions as outlined in their Grant Agreements. The minimum contribution requirements by grant size are shown for the three categories of eligible Applicants in Table 4. The evaluation and selection process and associated Scorecard as described in Section 5.1 will prioritize and/or assign extra weight for Applicants that contribute co-financing at higher rates than the below minimum requirements.

Table 4. Co-Financing/Cost-Share Contribution Requirements

Grant Size	Farmer Groups, Associations, Cooperatives	Women's Groups and Youth Groups	MSMEs
\$100,000-\$250,000	15% (of which 8% to be cash and/or other financing)	10% (of which 5% to be cash and/or other financing)	30% (of which 10% to be cash and/or other financing)
\$50,000-\$100,000	10%	8%	20% (of which 5% to be cash and/or other financing)
\$10,000-\$50,000	8%	5%	8%

In-kind contributions with some documentation of valuation, as follows, are eligible to count toward Grantee contributions. USADF or MCA-Niger reserves the right to reject proposed in-kind contributions that do not meet verification or documentation standards. All in-kind contributions must be directed towards the business plan or project proposal that the applicant proposes for grant funding. In other words, the applicant may not count assets as in-kind contributions that will not be utilized in implementing the business plan.

For projects that receive grant awards of over \$100,000, as outlined in Table 3 above a minimum of 5%-10% cash contribution is required with letter of commitment included in the Application and evidence of the Grantee's ability to meet the projected need contribution prior to each disbursement and as agreed and documented in the Grant Agreement. As per USADF standard procedures, any non-grant funds, including required cash contributions shall not be commingled in the dedicated grant fund account.

The following are eligible as cash contributions from Grantees:

- **Working capital** – Working capital contributions for cost of inputs, raw materials, salaries, etc. Applicants must document that there is sufficient capital set aside for these contributions to be counted, and contribution will be verified by the Partner during project

implementation. Value should be documented based on purchase receipts/invoices or written quotations from the supplier. Inputs obtained without some documentation of value cannot count towards the Grantee contribution requirement.

- **Credit** – Credit from any verified financial institution or other partner organizations (e.g., donors, NGOs, financial institutions) which directly finances activities in the applicant business plan shall be included as a cash contribution. More specifically, loans from any commercial banks or accredited non-bank financial institutions to fund any assets or activities included in the Applicant’s business plan (and Application) are considered as eligible cash contributions, even if loans are not from CRA Partner Financial Institutions (See Section 3.12 for more on CRA Partner Financial Institutions). USADF and MCA-Niger reserve the right to require an Applicant to restructure the financial elements of any proposal after consultation or may reject the proposal based on lack of adherence to selection criteria and co-financing contribution requirements.

The following assets are eligible as in-kind, non-cash contributions from Grantees:

- **Land** – Valuation of land may be calculated based on available documentation of local sales of comparable land (perhaps archived by the local land commission), any ownership or leasing document possessed by the Applicant that states the value of the land or estimated by facility staff. The area of land counted towards the in-kind contribution should be the portion used for grant-related activities.
- **Buildings** – Existing buildings or other physical structures/assets that will directly house or support activities described in applicant business plan may not be counted toward the Grantee contribution. Physical assets or buildings can be counted towards the contribution only if the majority of the space will be used for activities related to the proposed project.
- **Machinery, equipment, or other capital assets** – Specialized machinery or equipment that will be utilized for activities contained in applicant business plan. The value of the asset should be documented based on purchase agreement/invoice or based on market assessment conducted by USADF. Existing machinery, equipment or other capital assets will not be considered as contributions.

NOTE: *Uncompensated labor will not be counted as a contribution under either category.*

3.7 Dedicated Project Account

Grantees must establish a dedicated project account at a USADF approved financial institution (bank, micro-finance institution, etc.). No funds from other sources may be comingled with grant funds received in the project account. (If Applicants do not have an account at time of application, the Partner will assist them to establish an account prior to any disbursement of funds).

3.8 Grant Types and Procurements

Direct grants will be awarded to promote Grantee management of the procurement and implementation of projects with USADF and Partner oversight. Therefore, Grantees (and not the

CRA Grants Facility) will be responsible for procuring any and all goods and services required, with USADF and its Partner providing oversight and implementation support for such procurements to ensure they utilize best practices consistent with USADF MS [326](#) and [334](#). Procurements must also be in-line with MCC procurement guidelines, especially as related to direct contracting.

3.9 Economic Analysis and ERR Requirements

A stand-alone ERR calculation for each of the proposed projects will be conducted by USADF – a preliminary calculation during shortlisting (Section 5.1, Steps 3 and 4) and the final, decisional (pass/fail) ERR (Section 5.1, Step 5). A cost-benefit analysis (CBA) template constructed by MCC’s Economic Analysis group (MCC EA) will provide the basis for the ERR calculation. Projects selected under the CRA Grants Facility for grant award and formal Grant Agreement must meet an ERR threshold of 10% over a 10-year time horizon. It is envisioned that a preliminary/initial ERR will be calculated after the first due diligence site visit during the application screening and shortlisting process and will be updated and finalized during project development. (See Annex 3 for detailed CBA template, model and assumptions to be used for ERR calculation).

MCA-Niger and MCC reserve the right to conduct random spot checks and/or opt-in on final ERR calculations prior to grant award under the conditions that the USADF and MCA-Niger decision-making and grant award timeline are not impacted. In addition, USADF will make data by project available to MCC if requested. The CBA template is subject to change (for example, after the first round RFAs) given evidence that it could be improved to provide a more accurate assessment of the economic viability of potential grant-funded investments.

3.10 Business Development Services

Business Development Services (BDS) accompanying the CRA Grants Facility will support (1) pre-grant market analysis and grassroots outreach, (2) application and project development and (3) implementation support and capacity building for Grantees. The Grantees will receive, among other things, training in technical and business management skills to enable them to successfully implement their business plans.

BDS shall be provided across the grant lifecycle and will vary in level of effort and shall include both technical and general business development and implementation support services. USADF and its Partner will assess what types of support will be required and will develop a basic template of capacity building categories for each common “type” of business that may be funded by the CRA Grants Facility that can be adapted to the needs of individual Grantees. Implementation of these services will be coordinated with the Management Services Activity within the Irrigation and Market Access Project in the Compact as there may be some beneficiary overlap between the BDS that accompany the matching grant and the provision of training to women and farmers under this activity.

Implementation of BDS may be delivered by subcontractors or the USADF Partner. USADF will provide both general grants management and guidance in BDS implementation. USADF shall ensure that there are no conflicts of interest of any kind between technical personnel used to support grant development and implementation activities and those used within any appraisal/evaluation and approval panels. Contact information for addressing complaints and concerns will be provided in the Request for Applications (RFA). A detailed description of the BDS activities can be found in Section 4.2.

3.11 CRA Activity Partner Financial Institutions and Other Financing

MCA-Niger will establish relationships with select MFIs/Financial institutions (CRA Partner Financial Institutions) to facilitate the ability of MFIs to offer credit to Applicants to support Applicants in the process of integration into the formal financial system. During proposal development, Applicants that are deemed to be likely to qualify for credit to complement the grant funds to either meet the full financing needs for their projects during proposed implementation period and/or after in follow-on expansion to the project funded under the CRA Grants Facility will be identified, and USADF will facilitate discussions with either CRA Partner Financial Institutions and/or other MFIs. Working with CRA Partner Financial Institutions and/or other MFIs is not a requirement for Applicants but will be encouraged for sustainability objectives.

MCA-Niger will negotiate and sign MOUs with CRA Partner Financial Institutions outlining the terms of the collaboration. Initial identification of the partnerships will be done by MCA-Niger and any grant-specific agreements and/or arrangements will be developed between the Grantees with USADF assistance during the project design process.

As outlined in Section 3.6 loans from any commercial banks or accredited non-bank financial institutions to fund any assets or activities included in the Applicant's business plan and Application are considered as eligible cash contributions, even if they are not from CRA Partner Financial Institutions.

3.12 Environmental and Social Assessment

The CRA Grants Facility will promote projects that are socially and environmentally sustainable, do not harm the natural environment and do not jeopardize beneficiary and worker health and safety, and are consistent with the Niger Compact Environmental and Social Management System (ESMS) adopted and regularly updated by MCA-Niger (www.mcaniger.ne) as well as the CRA Grants Facility Environmental and Safety Management Framework (ESMF) and the associated grievance mechanism developed by USADF and provided in Annex 4. Applicants will be advised by the Partner of all environmental and social laws, regulations, and procedures applicable to the CRA Grants Facility, and will be supported by the Partner to comply with these regulations through integration of appropriate requirements and measures to mitigate any adverse environmental and social impacts associated with the proposed projects. Additionally, all

Applicants and Grantees will be made aware of the grievance mechanism managed by the CPC, as described in the CRA Grants Facility ESMF.

Section 5 of this Manual describes in detail the process for screening Applications and potential projects for compliance with CRA Grants Facility exclusion lists. During the due diligence and shortlisting, the Assessment Team (see 5.1, Step 3) will conduct a field based basic screening of Applications using an Environmental and Social Screening Tool (ESS Tool) developed with MCC and provided in Annex 5 of this Manual. The Assessment Team will use the ESS Tool to determine appropriate project categorization as either A, B1, B2, C or D (or FI as defined by other donors) consistent with categorizations contained in the OECD Common Approaches¹³, World Bank Operational Policies (Ops) – Environmental and Social Safeguard Policies¹⁴, MCC Environmental Guidelines¹⁵, and International Finance Corporation (IFC) Performance Standards on Environmental and Social Sustainability¹⁶. The Bureau National d’Evaluation Environnementales BNEE (ex BEEI) or their regional representatives, must review and confirm project categorizations prior to shortlisting and related submission to MCA-Niger for no-objection.

NOTE: Only projects categorized as either B2 or C will be eligible for funding under the CRA Grants Facility.

For B2 projects with potential site specific adverse environmental and social impacts (few if any of which are irreversible, and mitigation measures are readily available), basic site-specific/project level Environmental and Social Management Plans (ESMPs) must be included in project design (Section 5.1, Step 5) and as an attachment to the Grant Agreement. Annex 6 provides a template for B2 ESMPs. For projects designated to not require preparation of full ESMPs (Category C only), USADF and Partner staff will identify environmental/social risks and mitigation measures that may be needed, and include these in the project design during proposal development and in Section VII of Appendix A to the standard Grant Agreement for grant awards greater than \$50,000 and in the Project Description Section of the Schedule Attachment for grant awards up to \$50,000.

USADF staff will identify any common environmental remediation support or training needs of Grantees (e.g., training in water and soil quality, monitoring of waste water discharge, safe chemical use, etc.) to address as part of Partner or grant support and capacity building during grant implementation. In addition, USADF and MCA-Niger reserve the right to require specific environmental and social impact studies, reporting, or training where relevant to address potential site-specific adverse impacts, or where positive environmental and social impacts may be enhanced as part of the project design.

¹³ OECD Common Approaches, 2016. <http://www.oecd.org/tad/xcred/oecd-recommendations.htm>

¹⁴ World Bank OP’s on Environmental and Social Safeguard Policies, 2018. <https://www.worldbank.org/en/projects-operations/environmental-and-social-policies#safeguards>

¹⁵ MCC Environmental Guidelines, 2012. <https://www.mcc.gov/resources/doc-pdf/environmental-guidelines>

¹⁶ International Finance Corporations Performance Standards on Environmental and Social Sustainability, 2012. https://www.ifc.org/wps/wcm/connect/c8f524004a73daeca09afdf998895a12/IFC_Performance_Standards.pdf?MOD=AJPERES

3.13 Gender and Social Inclusion Assessment Considerations

Projects should aim to consider social and gender implications. Social and gender analysis should be built into project planning and implementation processes with the objective of improving the economic participation of women and youth in rural areas. Applications will include group demographics that includes a breakdown of membership by gender and age. Applicants who can demonstrate the participation, contribution, and/or benefits to specific vulnerable social groups such as unemployed youth, female-headed households, households with orphans, persons living with HIV/AIDS, persons with disabilities, or others will receive an additional point in the evaluation. Details on USADF policies and process related GSI requirements can be found at [USADF MS [201](#), [211](#), [220](#)].

A Trafficking in Persons Assessment Tool (TIP Assessment Tool) provided in Annex 7 will be used during due diligence and shortlisting to determine risks related to Trafficking in Persons and the Applicant's ability to put in place a mitigation plan in the event the risk is identified as high.

3.14 Summary CRA Grants Facility Parameters and Targets

Marketing/outreach and grants selection/evaluation will give attention to portfolio level considerations as outlined in Table 5 below.

Table 5: Summary of Key Parameters specific to the CRA Grants Facility

CRA Grants Facility Key Parameters	Targets/Considerations
Social targets (gender, youth, vulnerable groups)	Allocation of grant awards against the social inclusion target of 20% of total grant funding
Distribution by Grant Size	No specific targets or allocation requirements. Priority will be given to projects with greatest impact on communities and beneficiaries.
Distribution by Activity Type and Climate-Resilient Objectives	No specific targets or allocation requirements by Activity Type. Only projects categorized as B2 and C will be eligible for funding.
Geographic distribution	Outreach and Community Engagement Plan will be developed to ensure Applications are received from every commune and at least one grant awarded in each of the 16 CRA supported communes and at least two grants awarded in the 2 irrigation perimeter communes of Tanda and Gaya.
ERR at Shortlisting and Grant Award Stages	Projects proposed for grant award must meet a pass/fail 10% hurdle rate requirement.

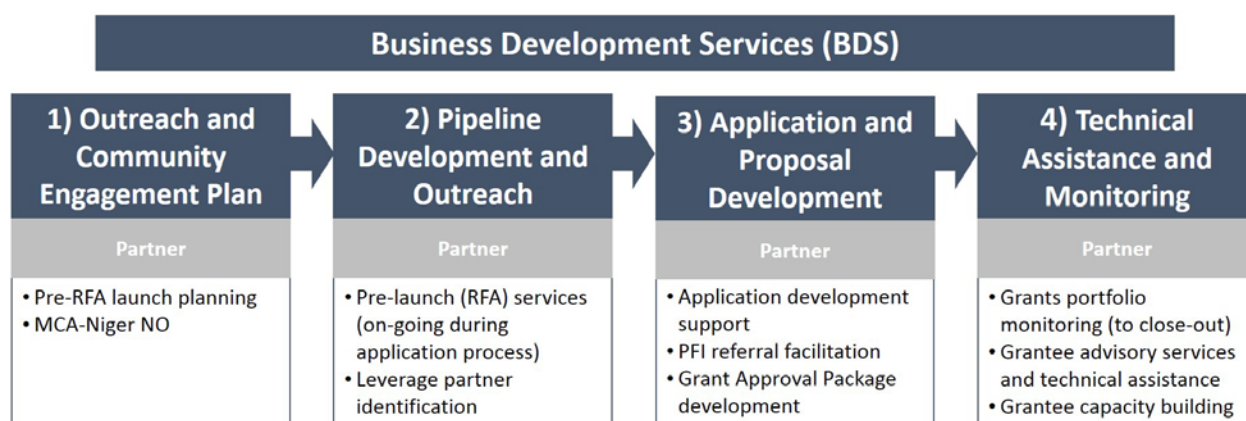
There will be up to two rounds of grant award and implementation completed during the MCC compact implementation period. As soon as the first round of grants have successfully passed non-objection, and assuming enough time remains, USADF should begin the second grant cycle. As per the IAA between MCC and USADF, the first round of grants shall be awarded and grant

agreements signed no later than Dec 31, 2019. The second round shall be awarded and grants signed no later than Dec 31, 2020. MCC and MCA-Niger reserve the right to add or eliminate grant rounds, depending on demand and success of awards as well as timing of completion of the first round.

4.0 Business Development Services

The following section outlines the features of the Business Development Services (BDS) to be offered throughout the grant cycle. This section will describe the Niger outreach and community engagement plan, in addition to the three core phases of BDS support. As per USADF standard procedures and process [USADF MS [211](#), [232](#), [533](#)], BDS activities are integrated throughout the grant cycle process. Figure 3 illustrates the services that will be described in this section.

Figure 3: Business Development Services



4.1 Niger Outreach and Community Engagement Plan

USADF, in consultation with MCA-Niger, will develop and implement a detailed Outreach and Community Engagement Plan (Outreach Plan) informed by knowledge of local context in each region and partnerships with NGOs, associations, and local leaders/governments in order to make the facility as accessible as possible and address challenges to inclusiveness of the facility including, but not limited, to those listed below. The Outreach Plan will include, but not be limited to: stakeholder identification and engagement in all geographic areas of CRA Grants Facility implementation, identification of channels for communication, including attention to issues such as low literacy and sensitization and training of potential applicants in components that will prepare them to apply (e.g., concept of proposing a “single project as a group,” importance of savings, sensitization to concept of creating budgets and business plans, etc.)

CPC and Partner staff and MCA-Niger will conduct outreach activities through local government, NGO and community-based organizations; in addition, information will be disseminated through field visits and through radio spots in French and local languages. Partner staff will provide assistance to interested parties needing help to understand and prepare applications for submission in response to calls for applications. USADF Partner may assist organizations with the registration process as part of their support to project development.

Challenges that the Outreach Plan must address include, but are not limited to:

- Limited communication channels: women tend to get information from groups or in the marketplace; radio may or may not be an effective method; mobile phone use varies across groups, etc.
- Low or nonexistent literacy levels: illiteracy rates are higher in rural areas; while youth aged 15-24 are the most literate social group, literacy rates are 21.1 percent for females in this age range and 50.5 percent for males. Thus, communication strategies will have to rely on more creative and personal channels to supplement written channels, for example, voice messages, channeling simple textual information through a strong community-based campaign led by a respected leader.
- Dispersion and difficulty in transportation in rural areas: women are less likely to make visits to town and may have other priorities including household responsibilities and childcare. They are also less likely than men to be involved in group membership.
- Limited asset accumulation: both women and youth are less likely to hold assets and titles, formal or otherwise, to land; both access to and decisions about credit and use of income are more limited for women than men.
- Limited formally-registered groups or enterprises, with limited formal documentation of activities.
- Women are less empowered, generally, than men. Outreach should include sensitization opportunities with local leadership and men (e.g., husbands) to explain the individual, household, and community benefit of women's participation.
- Youth interest in the agriculture sector is waning, as many young people are leaving for more "attractive" work and outreach should be careful to consider how best to reach youth that are interested in agribusiness, enterprise development, and cooperatives.

4.2 BDS Phase I: Demand assessment, pipeline development, and outreach

Following the agreed Outreach Plan, USADF and the Partner along with MCA-Niger shall provide the pre-launch services required to develop Grantee interest in the CRA Grants Facility (marketing and promotion), along with intelligence on the types of applicants, grant ideas and themes, anticipated outcomes and capacity gaps. This market intelligence will be used by USADF to anticipate the level of support/assistance needed for potential applicants and the common capacity-building needs for potential Grantees, as well as to identify the procurement under the grant agreements that may need to be put in place. The targeted communes shall receive the following CRA Grants Facility focused services and activities to maximize the number of quality grants that shall be received by the CRA Grants Facility and to ensure an efficient harmonization of processes and documentation for the Facility:

- Marketing and public relations
- Grass roots, community-based outreach and information/orientation

- Business idea collection, field intelligence
- Potential Grantees (individuals and groups) identification and targeted group strengthening interventions as appropriate
- Pipeline development of potential Applicants
- Identification of areas of focused intervention to ensure vulnerable group inclusion (i.e., use of local language; outreach is written, audio, and shared in communal spaces, such as through groups or in markets; includes community sensitization for support from males/husbands)
- Identification of potential applicant capacity gaps and quick remediation options so that USADF and the Partner know the level and type of effort needed to support applicants in the application process. (Assessment of applicant implementation capacity gaps and more detailed BDS support plans for Grantees will be developed in Phase 2 after Applicants submit their proposals.)
- Identification of potential local implementation or program leverage partners
- Intelligence gathering for Facility administration

4.3 BDS Phase 2: Application and Proposal Development Support

The Partner shall support Applicants to develop initial applications and detailed proposals/business plans with the goal of having quality, risk-assessed grant packages that meet Facility objectives. Section 5 and the associated annexes outline the appropriate application of USADF and MCC standards and policies as well as the tools USADF has developed with MCA-Niger and MCC to apply agreed upon screening procedures, tools, and categorizations. These tools will be used to screen and identify risks as well as to provide guidance to Applicants.

During proposal development (Section 5.1, Step 5), the Partner will also facilitate the referral of proposal packages that may require and potentially qualify for credit to partner financial institutions for consideration (Section 3.11). BDS support during Phase 2 may include:

- Training and support for initial application preparation
- Full proposal and business plan development (identification of market opportunity, business case objectives and targets, detailed activities, risks, capacity building, management and financial support, milestones, disbursement plan, budget, financial projections, etc.) for applicants that advance past initial screening
- Specific programmatic and technical support (i.e. Gender and Social Inclusion, Monitoring and Evaluation (M&E), Environmental and Social, Economic, etc.).
- Development of an open forum where Grantees' questions can be publicly answered
- Financial analysis/budget preparation support which supports the generation of realistic profits projections that are based on a review of both more and less optimistic scenarios.
- Specific support to ensure inclusion of low income and vulnerable groups, including women and youth

- Development of grant award packages
- Development of Grantee capacity building support plans outlining key support and capacity building areas and services required
- Coordination with MFI's, including referral of applications for complementary credit
- Support for qualifying processes, such as group registration, establishment of account at financial institution, etc.
- Support associated with application templates, basic M&E frameworks for Grantees, inputs to economic analysis model, all applicable USADF and MCC Environmental Guidelines and IFC Performance Standards, administration, approvals, etc.

4.4 BDS Phase 3: Technical Assistance and Monitoring Support

Technical Assistance

The Partner shall assist Grantees to implement the BDS service support defined in individual grants to ensure Grantees meet key milestones, receive payment and attain desired results, outputs and outcomes. Support shall include:

- Specific technical assistance (agricultural, value chains, etc.)
- Grantee-specific advisory services
- Targeted field support – both management and technical
- Business development support and project implementation planning and training
- Capacity building to Grantee to promote post-compact sustainability

Monitoring Support: Grants Portfolio Monitoring and Site Visit Plan

Given the number of grants that are likely to be awarded and geographic dispersion of grants, USADF and MCA-Niger should plan for sufficient resources and an efficient process to enact proper monitoring of Grantees. To this end, the Partner, working with MCA-Niger, will prepare a Grants Portfolio Monitoring and Site Visit Plan that encompasses desk monitoring, rotating schedule of Grantee monitoring visits, random spot checks, and other monitoring and Grantee follow-up activities covering the entire grants portfolio, which must then be approved by MCA-Niger.

USADF (and MCA-Niger as appropriate) must conduct periodic site visits for Grants Monitoring, with a minimum number of visits per Grantee and a site visit schedule specified in the Grant Portfolio Monitoring and Site Visit plan. The plan should utilize a combination of scheduled/announced monitoring visits and unannounced (to the Grantee) “spot checks.” An effective grant monitoring visit shall cover topics including but not limited to: statutory compliance, implementation progress, fiscal management, challenges faced by the Grantee, modifications made to the grant program, program outcomes, Grantee policies and procedures, Grantee governance, training and technical assistance needs and ensure technical, environmental and health and safety compliance during construction, and implementation risks/mitigation.

The Grant Portfolio Monitoring and Site Visit plan will specify a schedule of announced and unannounced monitoring visits across the grants portfolio. Each monitoring visit will have a particular focus or priority issue, while also addressing a standard set of generic objectives, described as:

- To secure technical and financial accountability of the grant implementer and financed projects
- To examine Grantees' strict observance of the rules and procedures of the Grant Operations Manual and regulatory documents applicable to the grant scheme projects
- To secure regular, accurate and valid information on the implementation status and results of the financed projects: monitor and report on the indicators as per the Monitoring and Evaluation Plan elaborated by the MCA-Niger
- To verify compliance of presented reports with the actual project performance;
- To check the use of resources towards planned results and co-financing contributions towards the achievement of objectives;
- To identify potential problems and difficulties and recommend corrective measures;
- To support project teams in decision making;
- To secure active participation of stakeholders, and provide feedback information on project management;
- To verify gender and social inclusion and environment protection principles and requirements, as well as occupational health and safety standards, as applicable to the grant scheme;
- To contribute to the sustainability of the project results, best practices and their dissemination; and
- To support Grantees in the development of their reports.

MCC or MCA-Niger may also choose to engage additional supplementary resources to assist with program oversight and performance monitoring, to include MCC technical oversight consultants or MCA-engaged resources.

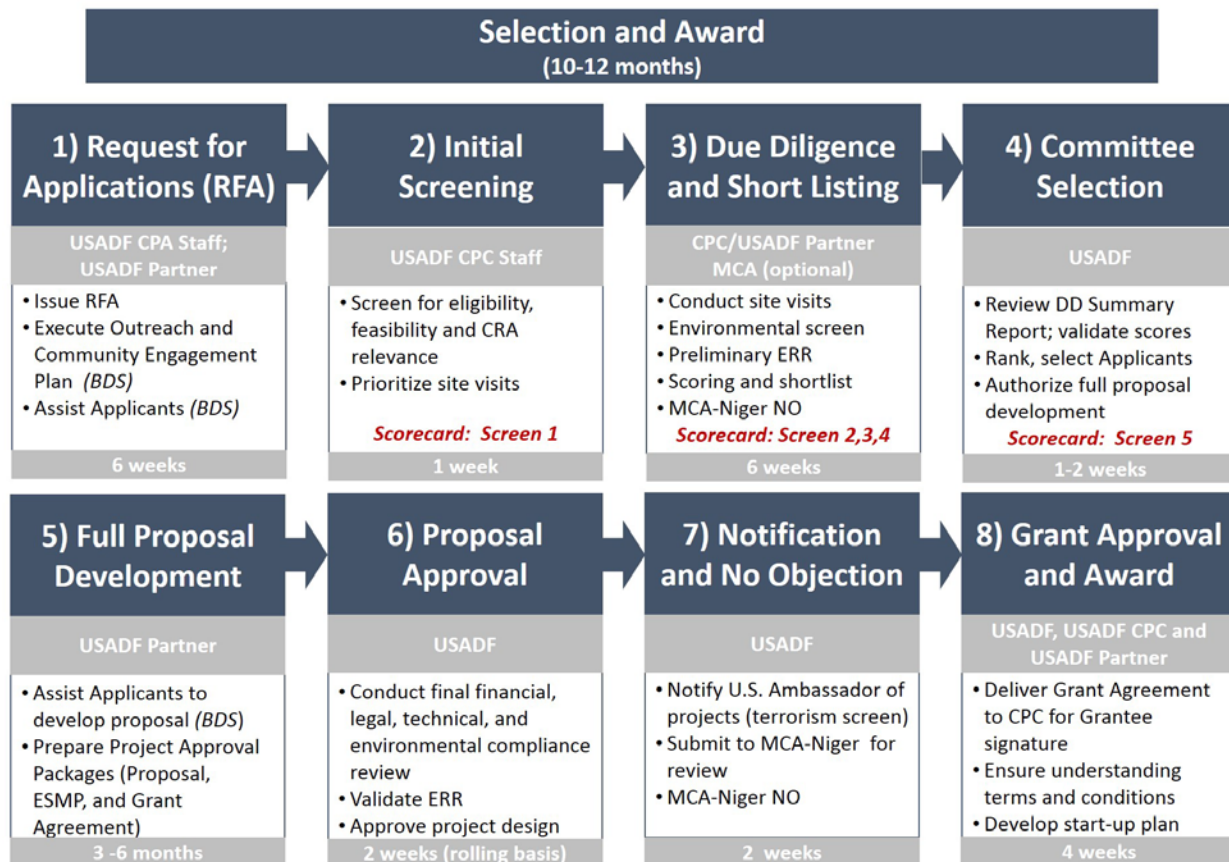
Monitoring and follow-up visits may also be used to verify outputs/outcomes and indicator performance information for reporting to MCA-Niger and MCC as described in section 4.4. USADF and Partner staff will work with the Grantee to ensure that information is being collected as agreed upon and to help develop information collection methods as needed. MCC and MCA-Niger M&E will provide advice and guidance as necessary to support their data collection efforts related to Monitoring and Evaluation of Grantees.

5.0 Selection and Award Process

The following section summarizes the USADF process for selection – covering the details necessary to screen, select, and award grants. This process is carried out with the assistance of USADF Field Office staff in Niger (CPC) and the USADF technical assistance partner in Niger (Partner). Except where indicated in Sections 1.2, 3, 5, 7 and 8, this Manual follows USADF’s standard procedures.

Figure 4 illustrates the process that will be described in this section. As outlined in Section 3.14, the CRA Grants Facility will have two grant cycles, assuming time allows after the completion of the first round of grants.

Figure 4: Grant Selection and Award Process



5.1 Application and Selection Process

CRA Grants Facility applications will be accepted pursuant to the timeline set in the Request for Applications (RFA) with established cut-off dates for review of applications being agreed with MCA-Niger prior to release of the RFA.

Potential Applicants are identified through BDS outreach and grassroots education activities, leveraging community relationships and partners. Outreach is done by CPC and Partner staff with

support from MCA-Niger as described in Section 4.1 above. Following the completion of this informational awareness campaign, the application and selection process is outlined in detail below.

USADF and the CPC, will utilize a Consolidated Screening, Submission and Scoring Tool (Scorecard) after receipt of applications to help document basic eligibility of applications for consideration; prioritize applications for further due diligence; and for those applications that meet the preliminary ERR and ESS and TIP screening requirements, provide a basis for ranking potential projects (Steps 2 – 4 below). Annex 8 provides complete details on the Scorecard and associated processes and “screens”.

Step 1: Request for Applications (RFA)

Organizations will submit an application form in response to a request for RFA. The Partner may provide assistance to groups needing help to respond to the RFA. The Partner and CPC will continue information and awareness sessions throughout the RFA open period. Applications will be submitted to USADF by the deadline specified in the RFA. Template RFA for Round 1 is provided in Annex 9.

The project application form (Application Form) is the primary document USADF uses to evaluate and determine both the initial eligibility of the Applicant and selection of the Applicant for further proposal development. The Application Form contains detailed information about the Applicant’s organization, evidence of legal status, rationale for the grant in relation to the objectives of the CRA Grants Facility and Compact (i.e. description of the primary problem to be addressed, the proposed solution to the problem, and how the proposal solves the problem), estimated net benefits from the grant, the proposed business model, and the activities and inputs needed to implement the solution (including applicant contribution). See Annex 10 for complete Application Form.

Partner staff may provide assistance to groups needing help in responding to the RFA. The Partner will provide basic training to Applicants (in groups as necessary) and provide technical guidance in completing the Application Form. The Partner will work with Applicants in local languages and translate the submitted applications to French as needed. For low literacy groups, the Partner will encourage/facilitate them to work with a person who can transcribe their application. The Partner will provide standard benchmarks for budget estimates of commonly anticipated expenses, based on initial due diligence conducted with local and regional suppliers. The Partner will continue information and awareness sessions throughout the RFA open period.

Contact information for addressing complaints and concerns will be provided in the RFA.

Step 2: Initial Screening

Once an application is received by USADF, CPC conducts an initial screening that consists of an initial go/no go checklist (Screen 1 as described in Annex 8) based on the initial application

that is meant to quickly screen out applicants or route them to the next round after work with the Partner to strengthen their applications.

Step 3: Due Diligence and MCA-Niger No Objection to the Shortlist

Based on the Initial Assessment screening, the CPC selects Applicants for initial site visits to conduct due diligence on the group and Application. At this stage, the CPC will form an Assessment Team that will include support from appropriate subject matter experts from the Partner. As part of the due diligence process for those Applicants screened for site visits during this step, the Assessment Team will conduct an initial environmental risk screening using the ESS Tool and TIP Risk Assessment using the TIP Risk Assessment Tool. Based on the information gathered in the ESS and TIP Risk Assessment Tools, CPC will prepare a Summary Report that will document the environmental and social risks and provide categorizations of project and be included in the package of documents that goes to USADF in Washington for scoring and ranking (Step 4 below). The BNEE, or their local representative, must review and confirm project categorizations determined through the ESS.

Only B2 and C projects (as determined by the environmental screening tool categorization) will be considered eligible to move forward in the process. At this stage the Assessment Team will also gather any additional data needed to conduct a preliminary ERR calculation, keeping in mind that all projects must meet a 10% hurdle rate prior to grant award. See Annex 3 for ERR CBA template and assumptions related to costs that USADF will use, Annex 5 for the ESS Tool and Annex 7 for the TIP Risk Assessment Tool.

For Applicants requiring access to land for their proposals (e.g. for production, restoration of degraded land, installation of equipment, or irrigation), USADF will follow its current due diligence processes USADF MS [211](#) and [212](#) to evaluate land access and land tenure security as relevant to the Application. If the Application is shortlisted, a strategy to address any issues raised will be included in the final project design. This strategy could include formalization of customary land rights (in most cases existing land rights may be informal, customary rights) by having the land rights holder seek a land certificate (i.e., the appropriate “acte”) from the local village or commune level Land Commission. The land securitization strategy should be supported by USADF and should not be overly complicated or costly or impose undue burden on project beneficiaries. USADF will ensure that these agreements are in place and will be valid for a period adequate to amortize any Grant investments made before any capital investments are made, possibly through the use of “Conditions Precedent” included in any Grant Agreement.

Based on the Assessment Team findings and utilizing Screens 2, 3 and 4 of the Scorecard as described in Annex 8, the CPC then compiles a shortlist of applications to be submitted to MCA-Niger for no objection. Applicants who can demonstrate the participation, contribution, and/or benefits to specific vulnerable social groups such as unemployed youth, female-headed households, households with orphans, persons living with HIV/AIDS, persons with disabilities, or others will receive additional points in the scoring process.

Screens 2, 3 and 4 of the Scorecard are a series of more detailed, numerically scored assessments based on a review of the proposal/business plan, support documentation and site visits/technical assessments completed by an Assessment Team composed of USADF CPC, Partner and MCA-Niger grants management staff.

Step 4: USADF Selection Committee Application Selection

After MCA-Niger no objection to the short list (Step 3 above), the CPC forwards the screened application, the Summary Report, and any/all due diligence documentation to the USADF Selection Committee (in Washington), which reviews and ranks applications using Screen 5 of the Scorecard as described in Annex 8 and, based on Preliminary ERR and Scorecard rankings, selects the best-qualified applications to receive assistance from the Partner for further development of full proposals. The Selection Committee will inform MCA-Niger if any applications that received no objection from MCA-Niger at the shortlist stage are dropped after final screening by USADF and will provide the overall scoring and ranking summary to MCA-Niger for their records.

All Applicants that ultimately do not meet screening criteria will be formally notified by CPC. Applicants rejected in RFA Round 1 may resubmit in Round 2. Applications that receive MCA-Niger non objection and pass USADF final screening will move to full proposal development (Step 5 below).

Final list of Applicants recommended for further proposal development will take into consideration the social inclusion and geographic targets and requirements that must be met by the end of Round 2, including that the two irrigation perimeter communes will not be ready to submit Applications in Round 1. As a result, expectations are that not more than \$6 million in grant awards will be made by the end of Round 1.

Step 5: Full Proposal Development

After the Selection Committee evaluates applications, USADF formally authorizes the Partner to begin project development assistance and BDS with the selected Applicants, which formally begins the proposal development period. Applications selected for further development are forwarded by USADF to the Partner to work with Applicants in a participatory manner to:

- **Develop a full Project Approval Package** as described in the [USADF Design Document](#), including an updated Application, any additional compliance/due diligence documentation needed, technical, market, and updated and final economic and financial analyses (ERR), financial and organizational capabilities assessments. The Project Approval Package will contain an activity and training plan and schedule, project performance indicators, description of all grant activities/provisions and targeted outcomes with baselines and targets, a budget and narrative and due diligence documentation that include design and construction plans if applicable, costing documentation for major procurement items, and other plans as appropriate. Depending on the grant size (\leq or $>$ \$50,000), the proposal

may be developed as a Fixed Amount Award (FAA) (Annex 11) or a Grant > \$50,000 (Annex 12). FAAs involve milestone payment based on costing and due diligence; the larger grants made on advance basis. USADF policy guidance related to budget formulation is found in [USADF MS [211](#)]. Policy for FAA are found in [USADF MS [203](#)]. The Partner should work with applicants to generate realistic estimates of what profit streams will be. In particular, profit projections should be expected values which reflect the likelihoods and values associated with low- and high-profit scenarios or outcomes. Early in this stage of full proposal development, Partner staff and any required technical specialists will conduct site visit(s) for each Application, which will include technical field assessment, project verification, preparation of a site specific simplified ESMP, if required as described below. MCA-Niger staff may accompany USADF Partner staff on these visits.

- **Prepare an ESMP specific to the project site**, if required, building on adverse environmental and social impact risks identified through the ESS Tool and Summary Report and TIP Risk Assessment tool Annex 5 (in Step 3), as well as any additional risks identified through the full proposal development process. CPC and the Partner will validate initial screening to confirm that the project remains either a B2 or C category project. Basic structure for a simplified ESMP is provided in Annex 6.
- **Develop a draft Grant Agreement** utilizing all templates provided in Annexes 11 and 12, including project description (Appendix A) and budget (Appendix A-1).

Applications assessed to have fatal flaws during the site visit will be eliminated from the pool of candidates. USADF must document any fatal flaws and rationale for applicant disqualification and MCA has the right to review this documentation. Projects with fatal flaw from the first round of funding must document how flaws have been addressed if they choose to resubmit during Round 2. The Partner will also brief Applicants on environmental compliance requirements and reporting obligations, as well as social and gender-specific considerations.

A final ERR, prepared by the Partner (and reviewed by USADF during Step 6 below) that does not pass the 10% hurdle rate will be considered a fatal flaw.

During full proposal development, the Partner should also determine whether a proposal requires and could qualify for supplementary credit from a financial institution (e.g., MFI, bank, S&L). Applicants may be referred for credit if they may require funds that count towards their applicant contribution and if it is deemed that they are likely capable of taking on credit. Additional criteria for referring applicants for credit can be found in Section 3.11 If so, the Applicant file will be forwarded to the financial institution for credit consideration in parallel with the grant evaluation process, if the Applicant approves. Applicants will be notified and must approve for their applications to be shared with the financial institution. Additional information from the grant review process (i.e., full project proposal, proposal evaluation results) will be shared with the financial institution as available with Applicant approval.

Step 6: USADF Committee Proposal Approval

The Partner submits completed Proposal Approval Packages as described in Step 5 above, including final ERRs, ESMPs if appropriate and draft Grant Agreement documents for each proposed project to USADF for review. USADF reviews the Proposal Approval Packages to ensure that feedback provided during selection has been addressed in full proposal development and that key project risks are satisfactorily addressed. In addition, USADF will conduct a final financial, legal, technical and environmental compliance review prior to submission of the Proposal Approval Packages to MCA-Niger for no objection. Any projects that do not meet the 10% ERR hurdle rate will not be submitted to MCA-Niger for no objection.

Step 7: Project Notification and No Objection

As per standard USADF procedures, USADF notifies the U.S. Ambassador of its intent to fund new activities in the country, as requested by Congress, to help ensure that USADF has access to any information U.S. Embassies have on a prospective recipient's involvement in political activities that may undermine United States foreign policy objectives. If the Embassy has information that indicates the organization is a terrorist, subversive or anti-American group or otherwise not supportive of the interests of the United States, the Ambassador is to notify USADF within fifteen days of the date of the notification. As required under the IAA, USADF will ensure that the Applicant is not barred from receiving the award due to any applicable U.S. laws, regulations, executive orders, and policies regarding money laundering, terrorist financing, trafficking in persons, U.S. sanctions laws, restrictive trade practices, boycotts, and all other economic sanctions promulgated from time to time by means of statute, executive order, regulation or as administered by the Office of Foreign Assets Control of the United States Treasury Department or any successor governmental authority, including, 18 U.S.C. § 1956, 18 U.S.C. § 1957, 18 U.S.C. § 2339A, 18 U.S.C. § 2339B, 18 U.S.C. § 2339C, 18 U.S.C. § 981, 18 U.S.C. § 982, Executive Order 13224, 15 C.F.R. Part 760, and those economic sanctions programs enumerated at 31 C.F.R. Parts 500 through 598.

At the same time USADF provides a summary of the Proposal Approval Packages and all supporting documentation to MCA-Niger for no objection and to MCC for informational purposes. MCA-Niger may ask MCC to review select projects as needed to inform their decision making.

Step 8: Grant Agreement Approval, Signature, and Award

After no objection by MCA-Niger of the Proposal Approval Packages and selected projects, USADF will approve projects for grant award. USADF will coordinate award and signature of Grant Agreements and issue initial grant disbursements. Template Grant Agreements are provided in Annexes 11 and 12.

Upon delivery of the Grant Agreements to the beneficiaries, CPC staff (and MCA-Niger staff as appropriate) will hold meetings to ensure full familiarization with and comprehension of the grant terms and conditions. Partner staff will also attend these meetings to develop start-up plans, to include scheduling of necessary initial training in financial, administrative, technical and reporting requirements and assisting the Grantees with recruitment of any technical or administrative staff provided for under the grants.

5.2 Site Visits

To support the evaluation of applicant proposals and business plans during Steps 3 and 5, USADF, with appropriate representation from MCA CRA Activity staff, will carry out site visits of shortlisted applicants to verify the proposal and business plan contents and inputs, assess feasibility and technical specifications of the proposal, and carry out basic environmental, health and safety, land tenure, gender, TIP, and social inclusion assessments. Where screening has identified issues of land access or land tenure, one or more representatives of the appropriate Land Commission will participate in site visits. Site visit reports will be standardized and will inform the technical evaluation of proposals. Any fatal flaws found during site visits may eliminate an applicant from further consideration (if not remediable in a short-term period). Onsite verification of business plan and economic analysis inputs (e.g., costs, estimated production figures, etc.) should be integrated into the proposal preparation process and Partner visits.

5.3 Implementation Timeline

The process from RFA to signing Grant Agreement may take up to 11 months for Round 1. Round 2 timeline may be shortened based on Round 1 experience. The first round of grants shall be awarded and grant agreements signed no later than Dec 31, 2019. The second round shall be awarded and grants signed no later than Dec 31, 2020. Table 6 on the following page provides and illustrative timeline for Round 1.

Table 6. Timeline Round 1 RFAs (Illustrative)

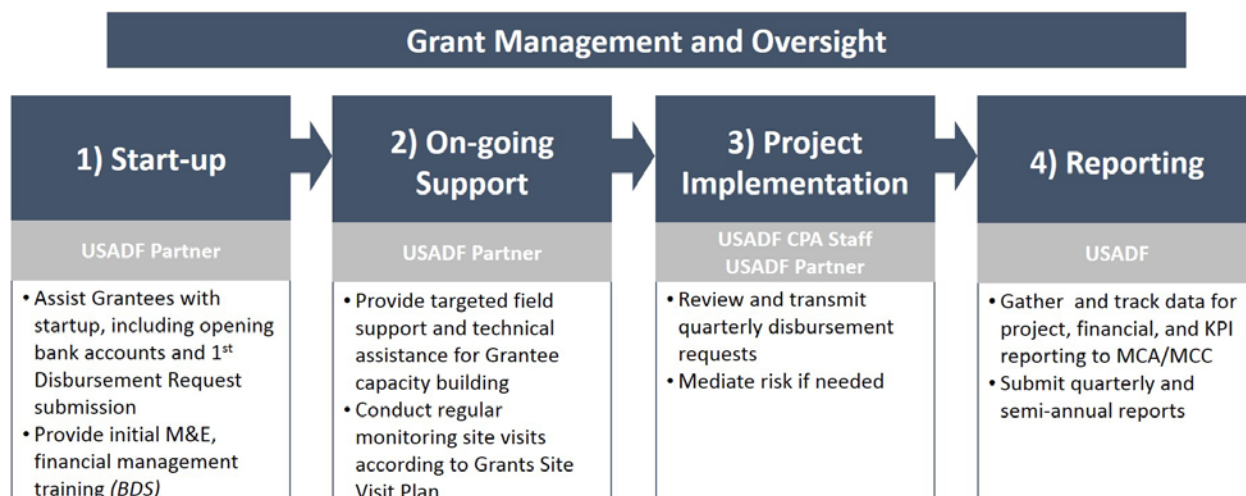
Step	Description	Timing	Duration
	Outreach and Community Engagement Plan Approved by MCA	By Dec 14, 2018	
	BDS pre-launch activities	Dec 04 - 28, 2018	2 weeks
Step 1	Launch RFA	Jan 10 - 24, 2019	2 weeks
	Round 1 Applications due	Feb 28, 2019	5 weeks from RFA
Step 2	Initial Screening by CPC (“go/no go” checklist); Scorecard Screen 1	March 04 - 11, 2019	1 week
Step 3	Assessment Team DD; Field Work including Prelim ERR and ESS Pre-screening	March 11 - April 22, 2019	6 weeks
	NO on Short-list from MCA; Scorecard Screens 2-4	April 22 - 29, 2019	1 week from submission
Step 4	USADF Selection Committee Review and Recommendations for Proposal Development; Final ERR verified; Scorecard Screen 5	April 29 - May 06 2019	1 week
Step 5	Project Development (BDS Phase 2); Updated/Final ERR	May - Nov 2019	6 months total
Step 6, 7	USADF Committee Proposal Approval; MCA-Niger NO	August - Dec 2019	On rolling basis
Step 8	Negotiation and Signing of Grant Agreements	Sept 2019 - Dec 2019	On rolling basis
2nd Round	Launch Round 2 RFA	By Mar 2020	2-3 months after Round 1

USADF intends to continue its operations in Niger beyond expiration of the compact. Currently, USADF maintains contacts with previous Grantees and reports on some aspects of the Grantees’ operations for at least two years after grant expiration. In many cases, USADF continues to provide advice, contacts, and sometimes technical assistance on an ongoing basis to foster continued growth and sustainability; former Grantees are also often used as examples or to advise new Grantees.

6.0 Monitoring, Support and Disbursement during Implementation

The following section explains the USADF grant management process during project implementation after grant has been awarded and grant agreement signed, including disbursement process, fiscal oversight and on-going support to grantees. Figure 5 illustrates the process that will be described in the following sections.

Figure 5. Grant Management and Oversight during Implementation



6.1 Grant Implementation Plan and Disbursements

Project activity, training plans, and performance indicators and targets are developed as part of the grant approval package for each project during Proposal Development (Step 5 in Section 5 above) and agreed to by all parties to the Grant Agreement and Appendices A and A-1 (See Annexes 11 and 12 for Grant Agreement Templates and all Attachments). As per Step 7, MCA-Niger will provide no objection to the Grant Agreement and all related annexes and attachments. Following signature and explanation of the grant agreement documents, the Partner schedules initial training of Grantee personnel in financial, administrative, technical and reporting requirements, assists the Grantees with recruitment of any technical or administrative staff provided for under the grants, assists the Grantees to complete grant-specific Quarterly Report (QR) templates (Grant Agreement Appendix B), helps them open a dedicated grant bank account, and trains and assists them to prepare the first grant disbursement request. Grant payments will be disbursed based upon the Grantee's projected requirements and satisfactory completion of activities and achievement of project objectives as documented in the QR.

USADF will review and verify disbursement requests and all supporting documentation related to expenses and achievement of activities. Disbursement requests should be forecasted on a quarterly basis and submitted to USADF each quarter. Unsatisfactory performance may result in USADF revising the disbursements pending successful completion of activities, or in extreme cases, suspending or terminating funding. Specific documentation or verification requirements for

milestone achievement, reporting requirements, and any other conditions of grant disbursement will be specified in the Grant Agreement.

General guidance for disbursement of grant funds is provided in USADF MS [326](#) and Appendix A-2. For FAA grants, disbursements are made against submission of reports documenting completion of specific project milestones, and as such there is no quarterly report form (Appendix B). For regular Grant Agreements, there are two options available for disbursement of funds, based on the value, circumstances, and complexity of the disbursement request:

- 1) **Direct disbursement to Grantee:** Disbursements are made directly to the Grantee based on projected needs, generally on a quarterly basis, to achieve project activities identified in the grant Appendix A, activity and training plan and budget in the project package. These disbursements are made in compliance with terms outlined in the Grant Agreement and as outlined in USADF MS [326](#).
- 2) **Payments to supplier:** Another option for grant disbursement, to be utilized at the USADF discretion, is direct payment of grant funds to a vendor/contractor identified and negotiated by the Grantee for goods, works or services specified in the Grant Agreement and Project Budget. To utilize this option, the Grantee shall identify the specifications of goods/services/works to be purchased, the selected vendor/contractor, quoted/negotiated price, and payment arrangements in the selection memorandum or contract to be submitted with the Disbursement Request. USADF and the Partner shall advise the Grantee on the USADF procurement rules and on all documents related to the project procurements.

USADF disburses grant funds to the Grantee or vendor bank account upon receipt from the Grantee of properly documented disbursement requests. Grantees provide quarterly financial, activity and performance reports to USADF through the Partner that indicate the status of receipt and utilization of grant funds against their budget, activities against their implementation plans, along with progress against performance indicators as compared with project targets.

6.2 Technical Assistance and Monitoring Support

As described in Section 4.4 the Partner will provide on-going BDS and technical assistance to Grantees to ensure they meet key milestones, receive payment and attain desired results.

6.3 Grant Administration and Fiscal Oversight

Grants will be administered according to the policies and procedures in this Manual, standard USADF policies and procedures related to fiscal oversight and grant management as found in USADF Manual Section MS [334](#) and MS [533](#), the provisions in the awarded Grant Agreement. Grant funds may only be used as prescribed in the aforementioned documents, both in technical and financial performance, for the purpose of achieving the grant objective. The Grantee is responsible for implementing the grant, but substantial involvement is expected from USADF and the Partner Organization.

6.4 Eligible Costs

All project related costs (both those covered by grant disbursements and those covered by co-funding contributions) shall meet the following criteria:

- be allowable, as prescribed by the guidelines in this Manual and in accordance with [MCC's Cost Principles for Accountable Entity Operations](#)¹⁷;
- be directly related to the grant objectives;
- be reasonable;
- be incurred within the grant period;
- be properly documented;
- be properly accounted for;
- be auditable; and
- not used for excluded purposes as outlined on the list of exclusions

Funding of the items listed below under the CRA Grants Facility is permissible. However, due to their potentially sensitive nature, procurement approval requires prior written authorization by USADF, in consultation with MCA-Niger, and may be subject to specific stipulations or verification. Used equipment is eligible for procurement but also requires prior written authorization by USADF. In general, project applicants will be encouraged to propose and procure new equipment. The goods subject to restricted procurement procedures are listed below:

- Veterinary Medications,
- Chemical fertilizers or other agrochemicals containing active ingredients that are not prohibited or restricted by Appendix A of [MCC Environmental Guidelines](#) and/or USADF Environmental policy [USADF MS [220](#)]
- Used equipment

Please see <https://www.mcc.gov/resources/doc/cost-principles-for-accountable-entity-operations> for additional detail on cost requirements. Compliance with grant eligible costs requirements will be assessed by USADF at Initial Application Screening stage and then further verified through proposal and business plan development.

6.5 Excluded uses of Grant Funds

A full list of excluded uses of grant funds can be found in Annex 13 and is informed by the Compact, MCC's Environmental Guidelines, IFC Performance Standards and Exclusions Lists and the World Bank PASEC Requirements and Guidelines based on the OECD Common Approaches and Operations Policies of the World Bank.

¹⁷ MCC and USADF Cost Principles follow USG requirements

6.6 Financial Management

All Grantees shall establish a separate non-interest bearing current account to receive funds for grant activities at an eligible bank or financial institution approved by USADF. Grant funds shall not be comingled with funds from other sources. All Grantees must document and be able to account for the receipt, and expenditure of MCA-Niger funds.

The Grantee, with the support of the Partner and any necessary technical assistance, shall be required to keep true and accurate records in accordance with generally accepted accounting principles and standards. The Grantee will be required to submit financial documentation/reporting in accordance with the terms specified in the Grant Agreement, which shall include quarterly financial reports on the status of grant funds until liquidated.

USADF Washington reconciles grant disbursements against funds received for grant funding on a monthly basis.

6.7 Grant Modifications and Dispute Resolution

Grantees will notify USADF of material changes in the project or enterprise ownership and are required to request prior written approval from USADF for one or more of the following program or budget related reasons:

- Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).
- The need for additional grant funding.
- Delays in work plan or need for extension of grant timeline (any extension requests may or may not be granted depending on circumstances and timing)
- The transfer of amounts budgeted for major line item costs. USADF may authorize the transfer of funds among category or line item cost categories in compliance with terms in the Grant Agreement.

USADF may by a written exchange of letters and/or an amendment to the Grant Agreement, make changes in the project and the grant, for its own requirement or at the Grantee's request, including changes in:

- Project work / implementation plan;
- Method or manner of performance of the scope of work;
- Project expenditures associated with the scope of work; or
- Directing acceleration or suspension of all or portions of the performance of the work

MCA-Niger should also be informed by USADF of substantive changes (financial or impact) and given an opportunity to raise any major concerns.

USADF will determine on a case-by-case basis whether requests for modification are reasonable. In general, the Grantee shall comply with the original terms of the grant award and should be aware

that USADF may reject modification requests at its discretion. Material and substantive changes will require a re-calculation of the ERR before amendments can be made/approved.

Any disagreement between the Grantee and the signatory to the Grant Agreement (USADF in the performance of the Grant Agreement shall be resolved in accordance with the provisions of the Grant Agreement.

6.8 Amendment of Manual and Facility Procedures

Any modifications to this Manual after formal approval and acceptance by all relevant stakeholders (MCC, MCA-Niger and USADF) may be proposed and must be approved by all stakeholders named above. After completion of Round 1 Selection and Award, there will be opportunity for internal review of the process and procedures, and opportunity to make necessary revisions to the Manual and Facility procedures.

6.9 Conflict of Interest

It is critical that all participants in the grant selection and development processes are objective and transparent. Any real or apparent conflict of interest must be avoided. To help ensure there is no conflict of interest, the USADF Country Program Coordinator (CPC), the Partner Organization, or any USADF staff, will notify the RPD when the following occurs:

- An application is received from an organization in which a relative, current or former business associate, or friend of the CPC or Partner is an officer, director, or employee or has a significant role in the proposed grant itself or in where the proposed grant is to be located; and
- A proposed grant would directly benefit a relative, current or former business associate, or friend of the CPC or Partner Organization management, staff, or board member.

This is expanded to include any conflicts that may be contrary to the interests of the CRA Grants Facility or MCA-Niger, in competition with the CRA Grants Facility or MCA-Niger or involve a financial relationship, current or potential, with the CRA Grants Facility or MCA-Niger or one of its employees, officers, directors, representatives or their immediate family members.

USADF Appendix A-2 Standard Provisions for Project Grants that is a part of all Project Grants also includes a provision regarding conflicts of interest, requiring the disclosure of any potential conflicts of the Grantee regarding procurement elements >\$10,000.

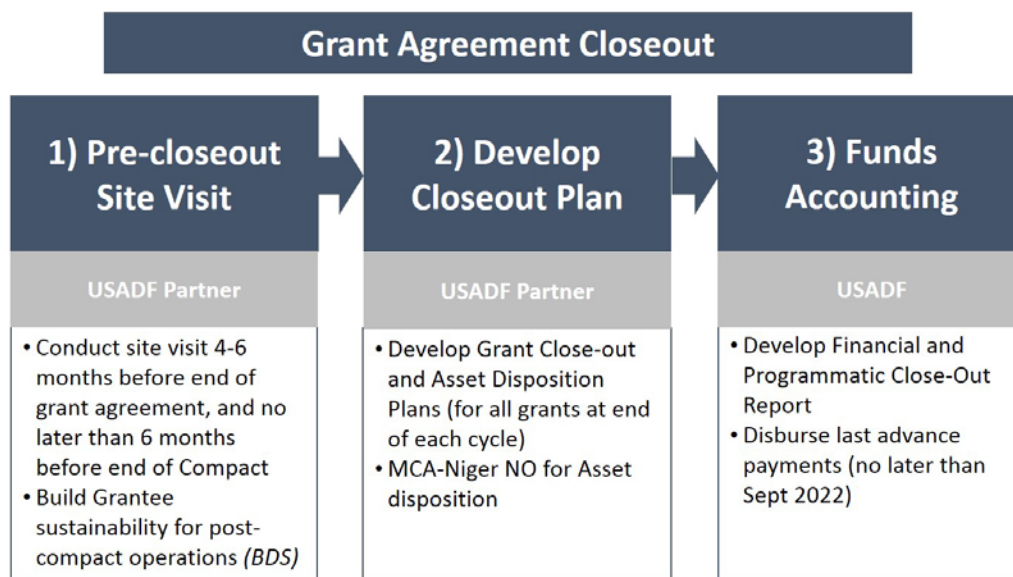
7.0 Grant Closeout and Termination

USADF is responsible for successful close-out and termination of all grants awarded under the CRA Grants Facility and unless otherwise stipulated will follow USADF standard procedures. The following section outlines the close-out and termination processes that will be implemented by USADF. As discussed briefly in Section 4.3, the Partner, during pre-closeout period and during regular monitoring responsibilities, will help organizations establish sustainability plans, including identifying potential new funding for expansion, as well as documenting accomplishments and lessons learned. The USADF regional offices close to the Grantees may continue to provide technical assistance even after the closure of the projects.

7.1 Grant Completion Closeout

A successful closeout follows three steps: a pre-closeout site visit, the development of a closeout plan, and submission of a project closeout report, consistent with USADF MS [244](#). Throughout the project, grantees are required to prepare and submit quarterly reports documenting project progress, the use of grant funds, and the status of project income generating activities. At the end of project implementation, a grant closeout reconciles the use of all USADF funds and project programmatic results. The grant closeout must verify that USADF funds were used for purposes specified in the grant agreement; review the financial status of any income-generating activities pursued as part of the project and the achievement of the project goal and purposes specified in the grant agreement; and plan for sustainability of the enterprise undertaken during the grant life. Grant Close-Out and Asset Disposition Plans developed in Step 2 of the USADF standard close-out processes will be reviewed and approved by MCA-Niger for compliance with MCC's Program Closure Guidelines. In turn, the MCA-Niger overall Compact Close-Out and Asset Disposition Plans will include grants made and projects funded under the CRA Grants Facility.

Figure 5. Closeout Process



The closure of a Grant will be reached upon the end/expiry of the term of the Grant Agreement and acceptance by MCA-Niger of the project close-out report.

No advance payments to Grantees will be made after September 2022 in order to support an orderly close-out of the CRA Grants Facility and settlement of all outstanding advances (disbursements made on projected needs). Grantees may engage in project activities up to end of the compact on January 25, 2023 and be reimbursed up to 60 days after compact close. USADF and the Partner will ensure that the Grantee does not implement any of the project activities beyond the end of the compact as no payments can be made by MCC for work done after Jan 25, 2023.

Any outstanding advances not settled by compact close (including 60-day period) are for the account of USADF.

7.2 Grant Suspension or Termination

Grant Agreements may be suspended or terminated at any time, in whole or in part, with 30-days written notice whenever it is determined that the Grantee has breached or failed to comply with the terms and conditions of the CRA Grant Agreement consistent with provisions in the Grant Agreement and USADF MS [245](#). As stated in the Grant Agreement, a dishonest act may result in automatic, immediate termination. In case of termination, the following will apply:

- No further payments will be made beyond the last grant payment made.
- The Grantee may be required to pay back or return tangible assets and/or funds provided to the Grantee.
- The Grantee will be required to provide a final technical and financial project report as of the time of termination.

Detailed procedures for each category of suspension or termination are elaborated below and further documented in Annexes 11 and 12 in the template Grant Agreements.

- **Suspension:** USADF may notify the Grantee, in writing, to suspend (including delay, stop or interrupt) all or any part of the work for the period of time that USADF determines is appropriate. Upon receipt of the suspension notice, Grantee shall comply immediately with its terms and take all reasonable steps to minimize costs allocable to the Grant portion of the Project during the period of work stoppage.

Within the period of suspension, USADF shall either: (1) cancel the suspension and direct Grantee to resume performance under the agreement; or (2) terminate the agreement for cause, convenience or changed conditions as provided in the agreement.

USADF and Partner Staff will be responsible for managing and monitoring each Grantee's progress and comparing actual accomplishments, with the goals and objectives established for the period. If it is determined that the established goals were not met or the Grantee has problems and delays due to adverse conditions which materially impair the Grantee's ability to meet the objectives of the grant, USADF or Partner staff will make site visits to

the Grantee and take necessary action to resolve the situation or suspend or terminate the grant in whole or in part.

- **For Cause:** USADF may terminate a grant for cause at any time, in whole or in part, upon written notice to the Grantee, whenever it is determined that Grantee has failed to comply with the terms and conditions of the grant agreement. USADF shall provide written explanation of the basis for its determination and subsequent actions to be taken by either party consistent with the terms of the Grant Agreement and USADF MS [245](#). In the event of termination for cause, no further payments will be made beyond the disbursement made, and the Grantee may be required to pay back or return tangible assets and any cash on hand.
- **For Convenience:** All parties may agree mutually to terminate a grant at any time, in whole or in part, if the parties agree that the continuation of the grant would not produce beneficial results commensurate with the further expenditure of funds. The parties shall agree upon termination conditions, including the effective date and, in the case of partial terminations, the portion to be terminated.
- **For Changed Circumstances:** If at any time MCA-Niger or USADF determines that continuation of all or part of the funding for the grant should be suspended or terminated because such assistance would not further the objectives of the Program, be in the interest of the United States, or would not be in accordance with pre-existing law, then USADF shall notify the Grantee, in writing, of such termination and direct the Grantee to cease incurring additional obligations chargeable to the grant other than those costs already irrevocably committed to third parties or specified in the notice of termination.

Upon receipt of a termination notice as specified above, the Grantee shall take immediate action to cease all expenditures and obligations financed by the Grant and shall cancel such un-liquidated obligations where possible. In addition, suspension or termination of the Compact by MCC will also result in suspension or termination of the underlying grant agreements between USADF and the Grantees.

8.0 Monitoring and Reporting

The following section describes the process for monitoring and reviewing compliance and progress of Grantees including the mechanisms to verify results over the life of the project, mediation plans and additional technical assistance that may be provided by the Partner or other sources if needed to address unforeseen problems or issues. It also outlines reporting requirements for both Grantees and USADF.

8.1 Project¹⁸ Oversight and External Verification

¹⁸ The term “Project” is used loosely in this context. The CRA is an Activity (and the Facility Grant is a component of this Activity) in the Compact language.

Project oversight shall, among other possible activities, include regular monitoring by USADF, Partner, and MCA staff, which shall follow procedures on a schedule specified in Grants Portfolio Monitoring and Site Visit Plans approved by USADF and MCA-Niger (described in Section 4.4). These visits should include monitoring of activities undertaken by the Grantee and ensure proper use of funds and execution of project activities. They may also be used as an opportunity to provide technical guidance to Grantees, to resolve issues and/or problems, and to gain a better understanding as to whether the project is reaching the ultimate beneficiary or clients of the program. BDS implementation support, capacity building/training, and advisory services should be provided in addition to, not in place of, formal monitoring visits. USADF Field Staff and the Partner Organization may assist the Grantee with project remediation as appropriate.

If USADF identifies that a Grantee has become “high risk”, due to poor performance towards the targets, financial problems, inadequate management control systems, does not conform to the ESMP, or does not conform to the terms and conditions of the award, USADF shall inform MCA-Niger in a timely manner with recommended next steps. USADF shall also inform MCA-Niger of any violations in policy/procedure, misuse of funds, and any other inappropriate behavior or violation of the Grant Agreement terms and/or MCC, MCA, CRA Grants Facility, and applicable local, national, or international regulations and policies immediately.

8.2 Facility Monitoring and Evaluation

Monitoring is the continuous, systematic collection of data on specified indicators to provide indications of progress toward objectives and the achievement of intermediate results along the way. While good program monitoring is necessary for program management, it is not sufficient for assessing ultimate results. Therefore, different types of evaluations are used as a complementary tool to better understand the effectiveness of programs. Evaluation is the objective, systematic assessment of a program’s design, implementation and results. Monitoring and evaluation are integrated into the entire life cycle of an activity from concept through implementation and beyond.

Monitoring and Evaluation (M&E) activities for the Facility will be elaborated in the MCA-Niger M&E Plan and shall be based on the principles of accountability, learning and transparency. To that end, MCA – Niger has established a Monitoring and Evaluation Plan that defines the indicators and targets to be monitored in order to ensure that the expected results from the implementation of the projects are reached, that target populations are impacted and that the activities within the Facility will have really contributed to a significant poverty reduction. Also the Monitoring and Evaluation Plan allows for measurement of progress of said activities.

8.3 General M&E Requirements

USADF, Partner, CPC and MCA-Niger are all expected to support and provide input into the MCA-Niger M&E Plan, which will detail program logics, monitoring strategies and indicators, and specify evaluation questions and approaches for the project.

USADF, Partner, CPC and MCA-Niger will be responsible for providing M&E information, data, and support to the MCA-Niger M&E team, including, but not limited to, ensuring the program logic is up to date, providing ITT data, and supporting the independent evaluators.

Throughout the Compact period, the M&E Plan will be amended and updated as necessary. USADF, Partner, MCA-Niger, and project staff are expected to actively support these updates and the correction of any errors.

Monitoring

Performance indicators should be used by USADF, Partner, and MCA-Niger to ensure that the CRA Grants Facility is making progress to achieve its intended objectives. Monitoring should include both basic program oversight components (e.g., ensuring that grant awarded resources are used for their intended purposes) and program performance components (performance against milestones and indicators).

Key performance indicators are outlined in Annex 14 and include: (1) number of applications received (total and per category of Applicant); (2) number and value of grants awarded (per category of Applicant) (3) value of grants disbursed and number of grants completed; (4) value of co-financing/leverage during compact and follow-on post project; (5) number of actual people (direct beneficiaries) associated with each grant; and (6) organization sales revenue growth. To the extent possible, these indicators will be disaggregated by category, gender, age, and location. The complete list of performance indicators will be included in the MCA-Niger M&E Plan. Quarterly reporting requirements will be specified in the MCA-Niger M&E Plan and/or in the specific grant agreements.

Data will be reviewed regularly to ensure the quality of data, particularly in regard to Grantees' compliance with indicator definitions and data collection procedures. MCA-Niger may hire an independent Data Quality Reviewer (DQR) that would be responsible for reviewing the integrity and usefulness of any data reported under this activity to MCC. Grantees would be expected to participate in any such DQR.

Specific Monitoring Requirements for the Facility

Funding agreements with Grantees will include periodic performance indicators to indicate progress in achieving objectives contained in the Quarterly Report (QR) template (Grant Template Appendix B). Standard performance indicators will be used to compare actual performance with the projections made in the applicant business plans including ESMPs. With support of the Partner, Grantees will undertake day-to-day monitoring and tracking of the performance indicators, which will inform quarterly Grantee reporting. Any capacity building or resources required for the Grantees to implement accurate performance indicator tracking will be included in the grant agreement. The grant-level performance indicators must align with the key indicators and objectives of the MCA-Niger Compact M&E Plan, such that the project-level data can feed into the CRA aggregate performance indicators.

Key performance indicators will include a few [common indicators](#) (see *Standard Indicators table*) applicable for all grant projects¹⁹ to allow for uniformity and comparability across grant projects and to assure the overall consistency of the CRA Grant Facility with the overall Compact logic to which it is a component. These *common indicators* (and definition sheets) will be elaborated in the MCA-Niger M&E Plan. Grantees will agree to submit an indicator-monitoring table (as part of their QR).

Grantees will report quarterly to USADF, on project financials, progress on the project plan, and any challenges they might encounter. They will report on Key Performance Indicators as referenced above (e.g. profits, employees, etc.) and progress toward achieving outputs. A simple QR template will be provided by USADF as part of each Grant Agreement. Additionally, to ensure closer oversight of the Grantees, higher frequency progress monitoring (e.g. monthly progress reporting to USADF and MCA-Niger) is encouraged for each Grantee, although formal reporting to MCC is only required on a quarterly basis.

USADF and the Partner shall be responsible for monitoring progress and performance of the grants portfolio, consistent with USADF MS [232](#), on the basis of performance indicators, project reports, and periodic site visits, in coordination with MCA staff. The Partner is responsible for quality assurance and facilitating cross learning among Grantees, as well as delivering or coordinating technical assistance to Grantees to resolve implementation problems, reporting on outputs and targets achieved, and maintaining appropriate records throughout the life of the grants. Every quarter, USADF will conduct a desktop review on the Grantees' quarterly reports, which MCA staff will have an opportunity to review.

Evaluation

As stated in the MCC M&E Policy, “MCC advances the objectives of accountability and learning by selecting from a range of independent evaluation approaches. MCC currently distinguishes between two types of evaluations, impact and performance evaluations... At the minimum, each Compact project should have an independent performance evaluation for accountability reasons.”²⁰ In this case, the evaluation of the Climate Resilient Communities Project in the Compact will include an evaluation of the CRA Grant Facility.

Independent evaluators are procured and managed by MCC. However, MCA-Niger and USADF will provide input, support and feedback to the independent evaluators. This support includes, but is not limited to, input into evaluation design, access to data and grant information, coordination between evaluators and grant implementers, facilitation of stakeholder meetings, and coordination of feedback on evaluation deliverables.

¹⁹ Grantees may have a number of additional indicators specific to the nature of the activities concerned.

²⁰ MCC Policy for Monitoring and Evaluation of Compacts and Threshold Programs, 2005, p 18.

The evaluation will cover a list of research questions, likely to include questions regarding the quality of project design, the soundness of the program logic, the fidelity of program implementation, whether or not the results that are laid out in the applicant business plans are attained, and lessons learned.

MCC will make the determination on whether or not to conduct an interim evaluation based on the needs and learning objectives. This decision, along with its proposed methodology will be included in the M&E Plan. If an interim evaluation is deemed necessary, then the independent evaluator will propose a design in collaboration with MCC and MCA-Niger.

The evaluation design and approach to be used will be defined by the independent evaluator in collaboration with MCC, MCA-Niger, and USADF, and will be documented in the M&E Plan. The Facility and USADF are expected to comply with any evaluation requirements, including sampling methods. If a large number of rejected applicants are close to the acceptance threshold, then rejected applicants may be used as a comparison group for the evaluation. All Applicants shall be requested in the application process to provide consent to be contacted for data collection and evaluation. All Applicants should agree to providing information and data to the independent evaluators as part of the application process, even if the organization does not receive a grant.

8.4 Reporting Requirements and Procedures

USADF through the Partner will collect data from all Grantees each quarter using the agreed-upon Annex B, QR Template of the Grant Agreement. USADF and the Partner may also use phone calls, e-mails, and analysis of the Grantee's reports to monitor activities undertaken by the Grantees and to ensure that activities are implemented as described in the Grant proposal and Appendix A to the Grant Agreement and whether they are reaching the targeted beneficiaries. Financial reports shall be presented using the QR Template according to the line items in the Grant Agreement Budget.

USADF will provide the following reports to MCA-Niger and MCC with the specified cadence:

1) Quarterly and Semi-Annual Grantee reporting

- Provided to MCA-Niger on a semi-annual basis disaggregated by quarter (and MCC if requested).
- Quarterly reporting on aggregate indicators as agreed to with MCC and defined in the Compact and CRA Grants Facility M&E Plan to be shared and agreed to by USADF, MCC, and MCA-Niger. (See Annex 14 for details)

2) Semi-Annual Grant and Financial Summary reporting

- Template to be developed with MCC and MCA-Niger
- Should cover – grant performance, key implementation risks, technical assistance activities, grant financials, overall commitment and disbursement of grant funds, environmental health and safety issues, conformity with ESMP, gender and social inclusion issues.

3) Annual comprehensive program and financial reporting

- Template to be developed with MCC and MCA-Niger
 - Should cover – same issues as above, plus annual program summary and accomplishments
- 4) **Final program closeout report** – Provided to MCC and MCA-Niger at the end of the Facility implementation period and summarizing all performance indicators and financials.
- 5) **Quarterly Special Accounting Reporting** - Within seven (7) calendar days of the quarter end the servicing agency will send to the COR for the IAA with a copy to the Controller of the Millennium Challenge Corporation a report summarizing the following:

	A	B	C	D	E=B-D	F=A-B	G=A-D
Projects	Original Advance	Obligation	Current Disbursement	Cumulative Disbursement	Obligated but Unexpended	Unobligated Advance Balance	Resources Remaining
A	\$XX,XX	\$XX,XXX	\$XX,XX	\$XX,XX	\$XX,XXX	\$XX,XXX	\$XX,XXX
B	\$XX,XX	\$XX,XXX	\$XX,XX	\$XX,XX	\$XX,XXX	\$XX,XXX	\$XX,XXX
C	\$XX,XX	\$XX,XXX	\$XX,XX	\$XX,XX	\$XX,XXX	\$XX,XXX	\$XX,XXX

In addition, at the end of each cycle for receipt and selection of grant applications for funding, USADF will prepare a report to summarize the total number of applications received, number and type of all grants approved and obligated. The status of all active grants will be reviewed and performance is assessed twice a year (May and November), and a summary report prepared to indicate grant status against compliance and performance indicators.

8.5 Audit

USADF MS [532](#) - ADF Audit Policy and Procedures applies to all grants awarded by the Foundation that exceed \$50,000; it does not apply to any small self-help grants awarded by USADF. USADF has established an audit program which is an integral part of the Foundation's grant monitoring program. An appropriate sample of grants that exceed \$100,000 shall receive an audit at the appropriate time during the life cycle of the grant and up to five (5) years after grant expiration. A random sample of grant awards of between \$50,000 and \$100,000 may receive a review or an audit during the life of the grant.

USADF's field audit program relies on the services of independent audit firms in the host countries. The financial audits contracted to the in-country independent audit firms are coordinated directly from the Foundation headquarters by the Internal Audit Division (IAD) and USADF Procurement. All fixed price, all-inclusive contracts with the in-country audit firms are signed by USADF Procurement. The Contracting Officer negotiates the terms of reference, payment conditions, and costs for each audit award directly with the audit firm tasked with the audit. Notwithstanding the acceptable audits performed by in-country auditors, USADF reserves the right to conduct audits using its own internal auditor when warranted by the particular circumstances deemed necessary.

USADF will use, to the maximum extent possible, independent audit firms certified by the USAID Regional Inspector General (RIG) as eligible to perform audits in each country or in the region to

carry out its audits. Audit firms will be selected after evaluating (a) their competency in completing audits, (b) their ability to undertake field assignments and interact with USADF Grantees, and (c) the reasonableness of their fee structures.

Unless otherwise noted, an audit of USADF grant funds must be performed in accordance with Chapters 3, 4, and 5 of U.S. Government Auditing Standards (“Yellow Book,” hereinafter referred to as U.S. Government Auditing Standards) issued by the Comptroller General of the United States and generally accepted auditing standards adopted by the American Institute of Certified Public Accountants (AICPA), which have been incorporated into U.S. Government Auditing Standards by reference.

The financial audit must include a specific audit of the Grantee’s USADF projects; and, where applicable, should also include an audit of the Grantee’s organization-wide general purpose financial statements (balance sheet, income statement, and cash flow statement) if requested by USADF Washington. The fund accountability statement is the basic financial statement to be audited that presents the Grantees’ revenue, costs incurred, cash balance of funds provided by USADF, and commodities and technical assistance directly procured by USADF for the Grantee’s use. The fund statement should be reconciled to the general purpose financial statements by a note to the financial statements or the fund accountability statement.

8.6 Control of Fraud and Corruption

MCC, USADF and MCA-Niger require that all beneficiaries of MCC funding, including every entity operating under MCA-Niger (i.e., the management of MCA, the Fiscal Agent, the Procurement Agent, the Implementing Entities, and consultants, as well as any bidders, suppliers, contractors and subcontractors) observe the highest standards of ethics during the implementation of the Agreement and the Compact. This requirement also applies to all Grantees and any third party with whom they conduct business.

8.7 OIG Hotline

It is the policy of MCA-Niger and USADF to use the USAID Office of Inspector General (OIG) Hotline for reporting a complaint about corruption, waste, fraud or abuse. The OIG provides oversight services for USAID, USADF and the Millennium Challenge Corporation (MCC). The OIG Hotline can directly receive complaints from MCA-Niger employees, program participants, consultants, contractors, and the general public.

Individuals have the option of submitting their complaints to the OIG Hotline online or by telephone, e-mail, or mail. Before contacting the OIG, individuals decide whether they want to report anonymously, or if they give their name, whether they want the OIG to keep their name confidential. The different ways of contacting the OIG Hotline and which methods permit request of confidentiality are noted below. E-mail systems are inherently not secure. By submitting a complaint by e-mail, confidentiality is automatically waived.

Table 7. Office of Inspector General Hotline

Method	Contact Information	Confidential
Online	https://oig.usaid.gov/report-fraud	YES, if requested
Telephone	(+1) 202-712-1023	YES, if requested
E-Mail	ig.hotline@usaid.gov	<u>NO</u>
Mail	US Agency for International Development Office of Inspector General Investigations (USAID/OIG/I) P.O. Box 657 Washington, DC 20044-0657	YES, if requested

8.8 MCC Fraud and Corruption Reporting

In addition to the OIG Hotline, MCA-Niger employees, program participants, consultants, contractors, and the general public should also report suspected fraud or corruption to MCC, the RCM or to an MCC employee. Definitions of fraudulent and corrupt practices in MCC's Policy on Preventing, Detecting and Remediating Fraud and Corruption in MCC Operations are currently available at the following URL: <https://www.mcc.gov/resources/doc/policy-fraud-and-corruption>

MCC takes all reports of suspected fraud and corruption seriously and may take administrative actions to preserve both compact funds and the reputation of MCA-Niger. In order to help MCC timely and accurately process reports of suspected fraud and/or corruption in an MCC program or project, MCC or MCA employees, contractors, consultants, and the public may report instances of corruption, waste, fraud, or abuse of MCA's funds or assets directly to MCC. The following link leads directly to a complaint form which can be completed and submitted on-line: <https://oig.usaid.gov/report-fraud>

Annex 1: Eligible Communes

Régions	Départements	Communes
Dosso	Dosso	Tessa
		Mokko
		Tombo Koirey I
		Tombo Koirey II
		Kargui Bangou
	Gaya	Gaya (facilités de subvention)
		Tanda (facilités de subvention)
Maradi	Dakoro	Dan Goulbi
		Sabon Machi
	Guidan Roumdji	Chadakori
		Guidan Roumdji
Tahoua	Konni	Konni
		Tsernaoua
	Malbaza	Malbaza
		Doguérawa
Tillabéry	Kollo	N'Dounga
		Liboré
		Kouré

Annex 2: Eligibility Requirements and Restrictions

Category	Eligibility Criteria	Verification/Documentation
All Applicants	<p>The organization must be a legally recognized entity (or in the process of becoming legally registered). USADF Partner may assist organizations with the registration process as part of their support to project development.</p> <p>The organization must demonstrate that it has successfully worked together and has the potential to productively utilize development funds.</p>	<p>Membership rosters/shareholder lists, identities of all Board/Directors/ Management officials</p> <p>Official registration/recognition by a local/regional/national government entity</p> <p>Official records of activity (financial records, group minutes, etc.) or confirmed verifications or letters of reference from reputable or official sources such as institutions, suppliers, buyers, local or national government officials indicating length of association</p>
Cooperatives/ Pre-Cooperatives/ Economic Interest Groups/Associations	<p>Certificate of registration (typically from government) as a cooperative, association or other group.</p> <p>If an income-generating project, must conform to legal restrictions on generated revenue and profits.</p>	<p>Copy of registration stating membership and type of group.</p> <p>Groups who are newly registered must provide some verification of prior commercial activity as a group for at least 1 year</p> <p>Groups who are not yet registered need to be registered before signing of Grant Agreement.</p>
Women's Groups/Youth Groups	<p>Women's Groups and Youth Groups must have one of the following:</p> <ol style="list-style-type: none"> 1. Certificate of registration (typically from government) as a women's group or youth group 2. Letter of verification from sponsoring NGO or MFI as a women's savings group, women's group, or youth group 3. For youth groups, letter of verification from sponsoring educational institution will also meet this requirement. 	<p>Certificate of registration and/or letter of confirmation from institution which worked with them before.</p> <p>Groups who are newly registered must provide some verification of prior commercial activity as a group for at least 1 year (with the exception of savings groups and other groups formed under the Compact and youth groups who are able to demonstrate genuine commitment to the project).</p>

	<p>Women's groups must have 100% women's control of and participation in leadership, and a minimum of 95% women membership.</p> <p>Youth groups must have 100% control and participation of the leadership and a minimum of 95% youth membership. Youth is defined as being between the ages of 15 and 35. Youth under the age of 15 cannot work in projects funded by the grant.</p>	Groups who are not yet registered need to be registered before signing of Grant Agreement.
MSMEs	<p>Registration as an enterprise, or if not registered, some other documentation or alternate verification demonstrating operations as a business for at least 2 years and completion of registration before signing of Grant Agreement.</p> <p>MSME defined as having no more than 500 million CFA in annual revenue (in capital investment exclusive of operating capital and taxes as per GON definition).</p> <p>Established farms registered as MSME and operating on a commercial basis for a least two years are eligible.</p>	<p>Registration, tax records, financial records, or other documentation indicating length of operation as a business. If no formal records exist, at least 3 confirmed verifications or letters of reference from reputable or official sources such as institutions, suppliers, buyers, local or national government officials indicating length of association.</p> <p>Financial records, account statements, or other documents verifying assets of organization. If no formal records available, grants manager may work with applicant to find alternate means to verify assets, within reason.</p>
<i>Additional Requirements</i>		
Any proposal involving production or other land use	Should have legal access to land through either formal or customary rights, definitive and legal right to use land for an appropriate period longer than the duration of the project adequate to depreciate the investment, given by community, individual, lease agreement, or some other documentation of ownership or right to use.	At the time of initial application, a simple statement on the part of the applicant that this condition is satisfied – and how/why it is satisfied – is sufficient, which will be reviewed by the USADF partner. The applicant must agree to subsequent verification by USADF with the village or commune land commission, and to eventual formalization of the land rights by obtaining an "acte" from the local land commission. USADF partner can assist with this formalization as part of technical assistance.

Eligibility Restrictions	
Category	Description
Individuals	<p>Individuals are not eligible to apply (except where those individuals are proprietors or sole proprietors of verified MSMEs).</p> <p>The principal owner(s) of the enterprise/business should not be members of the government.</p> <p>Political parties, groups or institutions, or their subsidiaries and affiliates are not eligible to apply for funding.</p>
Illegal Organizations	Organizations that advocate, promote or espouse anti-democratic policies or illegal activities under Nigerien law are not eligible to apply for funding.
Organizations with Conflicts of Interest	<p>Entities whose leadership or Board members are Key Parties in the selection process, as well as members of their immediate families or their business partners (to include consultants or advisers to the applicant even if not necessarily part of the applicant's organization are not eligible to apply for funding.</p> <p>For the purposes of this document Key Parties are defined as employees or former employees of Millennium Challenge Account-Niger (MCA-Niger), MCC, USADF, members of MCA-Niger's Board of Directors, or the staff or affiliates of the Partner. This restriction is applicable both during the determination of initial eligibility as well as during the entire implementation of the grant funded from the CRA Grants Facility. If, over the course of the grant, a Key Party in the selection process is approached to become a leader or Board member of the Grantee, they must inform MCC, MCA and USADF of this solicitation.</p> <p>When an Applicant and/or member of the Applicant membership is affiliated in any way with the Selection Panel, the institution shall be considered in conflict of interest. If necessary, the representative(s) of such institution shall relinquish their role within the Selection Panel and shall not take part in the evaluation of any applicants.</p>
World Bank Debarred List	Any entities that are blacklisted from participation in procurements funded with World Bank assistance or debarred or suspended from participations in procurements funded by the U.S. federal government or otherwise prohibited by applicable United States law or Executive Order or United States policies including under any existing anti-terrorist policies, anti-money laundering policies, and anti-human trafficking policies are not eligible to apply for funding.

Annex 3: Economic Rate of Return (ERR) Template

As indicated in Section 3.9, a stand-alone ERR calculation for each of the proposed projects will be conducted by USADF at two points in time, corresponding to two levels of data quality. A cost-benefit analysis (CBA) template constructed by MCC will provide the basis for the ERR calculation.

The initial ERR will utilize data collected via the Application on initial and projected profits, expected grant value and administrative costs, and the number of individuals amongst whom profits are shared. See Annex 10 for Application Form. These data will be supplemented with any new data obtained during due diligence shortlisting field work (Section 5.1, Step 3), and the initial ERR should be expected to be indicative at best. The final ERR (Section 5.1, Step 5) will depend on the same set of variables, but at this more advanced stage these data will have been made more accurate via USADF's due diligence and proposal development processes.

The ERRs will be automatically generated after data is entered into the CBA template that MCC has constructed and provided here: [CBA Analysis](#). The CBA template compares two scenarios: one that assumes the Applicant has received a grant and one that assumes they did not. Each scenario is characterized by streams of profits (less program costs) over the course of eleven years.

Projects selected under the CRA Grants Facility for grant award and formal Grant Agreement must meet an ERR threshold of 10% over a 10-year time horizon.

“With grant” Assumptions

- In the with grant scenario, profits start out at their baseline (year zero) level and are thereafter assumed to be a weighted average of two scenarios: one where profits grow as projected, and another where profits are assumed to grow at the slower, counterfactual rate of profits growth (see below). The likelihoods associated with these two possibilities are assumed to be 95% and 5%, respectively, given evidence from an evaluation of USADF grants facility outcomes in Benin, which found that “5% of grants are largely below the initial projected performances.”²¹
- The costs associated with the grants--the grant value plus any Grantee contribution, MCC administration and M&E costs, and USADF overhead--are also accounted for in the with grant scenario. In particular, these costs are subtracted from profits in each year they are expected to be incurred.

“Without grant” Assumptions

- The counterfactual scenario models firm profits in the absence of grant receipt, and assumes that profit streams are dependent on Applicants' abilities to self-finance the investments in question. More specifically, Applicants are assumed to be able to self-finance investments

²¹ Source: “Evaluation of the Strategic Partnership Agreement between the USADF and the Benin Government.”

within the ten-year period under consideration if two times the amount of time it would take to self-finance if all profits were reinvested for as many years as necessary is less than ten (conditional on Applicant profits per profit recipient being sufficiently large). In other words, we assume that 50% of profits are reinvested, as long as the average profits of profit recipients are least USD 450 annually.

- In the case of grant applications where profits per profit recipient are below this threshold, or where it would take longer than ten years to save enough to finance the investment, annual profit growth is assumed to be about 1.8%. This is equal to Niger's annual growth in GDP per capita from 2006-2016 (in 2010 USD) according to World Development Indicator data, and we assume this rate of growth will persist moving forward. Thus, if (for example) an Applicant would have enough to self-finance an investment in 3 years, the counterfactual will specify that profits grow at this modest annual rate for the first 3 years, at which time the investment is self-financed and profits begin to assume the profile given in the with grant scenario.
- For each year under consideration, counterfactual profits are subtracted from with grant profits less grant values and administrative costs to give program net benefits. The ERR is the interest rate at which the sum of these net benefits equals zero.

FCFA/USD:	Source and date:										
	FCFA	USD									
Baseline (year 0) profits net of taxes and depreciation:		#DIV/0!									
Profits net of taxes and depreciation, year 1:		#DIV/0!									
Profits net of taxes and depreciation, year 2:		#DIV/0!									
Profits net of taxes and depreciation, year 3:		#DIV/0!									
Profits net of taxes and depreciation, year 4:		#DIV/0!									
Profits net of taxes and depreciation, year 5:		#DIV/0!									
Grant and grantee contribution value (USD) disbursed in year 0:											
MCC administration and M&E costs (USD) incurred in year 0:											
ADF overhead costs (USD) incurred in year 0:											
Grant and grantee contribution value (USD) disbursed in year 1:											
MCC administration and M&E costs (USD) incurred in year 1:											
ADF overhead costs (USD) incurred in year 1:											
Grant and grantee contribution value (USD) disbursed in year 2:											
MCC administration and M&E costs (USD) incurred in year 2:											
ADF overhead costs (USD) incurred in year 2:											
Number of profit recipients at baseline:											
Profits per recipient:	#DIV/0!										
Years of grant funding:	1										
Self-financing factor:	#DIV/0!										
Years required to self-finance:	#DIV/0!										
Counterfactual growth rate in annual profits net of depreciation and taxes:	0.0176	Source: WDI, annual growth in GDP per capita (2010 USD), 2006-2016									
	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10
With grant scenario	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Without grant scenario	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
Net benefits	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
ERR	#####										

Annex 4: CRC Grants Facility Environmental and Safety Management Framework (ESMF)

All undertakings funded through the CRA Grants Facility will be required to comply with the Environmental and Social Management System (ESMS) developed for the Compact (www.mcaniger.ne). Per the Niger Compact ESMS, the environmental and social screening and evaluation tools in this Grant Manual constitute the activity level management tools required by the Niger Compact ESMS to facilitate compliance with MCC's Environmental Guidelines, including the IFC Performance Standards.

No sub-projects categorized as A, B1, or D as confirmed by the BNEE shall be financed by the Grants Facility. For projects categorized as B2, individual environmental and social management plans (ESMPs) will be developed to define the specific mitigation and monitoring measures required to ensure that potential environmental impact is systematically addressed during all phases of grant activities.

USADF and its Partner are responsible for consulting stakeholders to ensure that groups potentially affected, directly or indirectly, by any activity to be financed have been consulted and informed of the sub-project activity and were able to share their concerns. This process is summarized below in the Stakeholder Engagement Process Description. A Stakeholder may raise a concern directly with the Partner staff or through a grievance mechanism at any point in the duration of the activity, including solicitation, selection, award, and implementation. A complaint or grievance may be submitted to GFNigerCRA@usadf.gov, or to the USADF Niger Field Office at cpcniger@usadf.gov. A response will be provided within five business days. Alternatively, a grievance can be submitted by telephone, mail or fax to the CPC Niger Field Office at the following address, or directly to USADF Washington at +1 (202) 233-8800 Attention: Niger PA. A log of grievances received will be maintained by the CPC and submitted monthly to USADF, where it will be combined with any grievances received by the Washington office. Each grievance will be tracked to indicate the date received, as well as each follow-up contact by the CPC or Headquarters indicating the person contacted, date, and action taken up to and through closure of the grievance. In the case that a grievance involves allegations of corruption, waste, fraud or abuse, follow-up will be consistent with USADF policy concerning Control of Fraud and Corruption.

USADF Stakeholder Engagement Process Description

When: After initial eligibility screening of applications and selection by USADF of project proposals for further project development.

Who: USADF/W, CPC and Partner representatives during field visits to project sites and communities.

Checklist:

- Identify stakeholders, including women, youth, minority and ethnic populations, other vulnerable groups, relevant local and regional community leaders and government officials, etc.

- Communicate with stakeholders on project:
 - Newspapers
 - T.V., radio
 - In local languages and culturally appropriate style
 - Hold meetings
 - One-on-one
 - Group
 - Provide opportunity for feedback/grievances
 - Use attached form, as appropriate
 - Respond to feedback and grievances in a timely manner (USADF/W)
 - Describe actions going forward
 - Incorporate, as appropriate, suggestions into project
 - Report back to stakeholders
 - Continue communications/updates to stakeholders throughout project, including consultations and meetings.

USADF Stakeholder Input/Grievance Form

Name: _____

Do you wish to be anonymous? _____ Yes _____ No

Contact Information:

Address: _____

Email: _____

Telephone: _____

Preferred Method of Contact: __ Address __ Email __ Telephone

Feedback/Grievance (describe in as much detail as possible, including your relationship to/involvement in project, dates, parties, location, etc.):

Suggestions to resolve situation:

Signature

Date

This form may be submitted by email to GFNigerCRA@usadf.gov, or to the USADF Niger Field Office at cpcniger@usadf.gov.

Alternatively, this form can be submitted to the CPC Niger Field Office by mail or telephone.

- **Mail:** Quartier Ortn, Rue Or 15 Villa 241. Niamey, Niger
- **Telephone:** 96 87 13 32

Complaints may also be submitted directly to USADF Washington by telephone or fax.

- Telephone: +1(202) 233-8800 or
- Fax: +1 (202) 673-3810, Attention: Niger PA

Framework for Risk Management of environmental and social impacts in Climate Resilient Communities CRA Grants Facility

The table below illustrates the management processes during the different phases of the life cycle of the Grant Facility projects that are described in the Screening, Project Development, Implementation and Monitoring phases of the grant cycle.

Application Screening			Approval of Environmental and Social Categorization	ESR/ ESMP Development		Grant Approval	Implementation		Monitoring/ Supervision		Periodic Review/ Evaluation		
What	Who	When	Who	Who	When	Who	Who	What	Who	What	Who	What	When
Environmental characterization of sites <i>(Information on the sensitivity of the site to host the sub-project) and</i> Environmental screening of proposed grant activities <i>(establishes the likelihood of the environmental effects of the sub-project)</i>	Applicants/ CPC/ Partner/ Consultants (Service providers)	Preliminary screening of individual projects	BNEE at the regional level	Applicant/ Consultant/ Partner	Project Development	USADF/ MCA/ NO	Grantees, Consultants	ESMP/ ESR activities	Partner / CPC/ USADF/ Washington/ MCA	Desk reviews/ Site visits	Partner/ USADF / MCA External evaluators	Project Review	Site Visits, QRs, Semiannual Reviews/ Evaluations

Annex 5: Environmental and Social Screening (FES) Tool

Applicant Name: _____

Project Name: _____

Project Duration: _____ Years

Start (DD/MM/YYYY) _____

End (DD/MM/YYYY) _____

Project Type: (EEG/OAG/Small Grant) _____

Budget Size (USD): _____

Country and Area _____

(Please note any special site considerations, proximity to protected areas, parks, forests, wetlands, rivers, lakes, etc.)

Primary Project Activity (Describe primary production activity and potential environmental impacts)

Part A: Sensitivity Assessment

Sensitivity Assessment			
Q1	Are there ecological habitats for endangered, vulnerable or quasi-threatened species classified by the IUCN ²² in or near ²³ a sub-project/place of activity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q2	Are there protected areas, such as UNESCO biosphere reserves, RAMSAR sites, national parks, wildlife reserves, classified forests or important areas of birds and biodiversity in or near the sub-project/place of activity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q3	Are there any cultural heritage or other sensitive sites, such as historical sites or buildings, archaeological sites, sacred groves or cemeteries in or near the sub-project/place of activity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q4	Are there any hazardous areas, such as landfills, electronic waste sites, hazardous waste sites, mines, chemical plants or the like in or near the sub-project/place of business?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q5	Are there potential environmental impacts, and are they irreversible?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q6	Are there environmental and social impacts that cannot be mitigated to levels consistent with Niger's regulations, the MCC environmental guidelines and the World Bank Group's environmental, health and safety guidelines? (www.ifc.org/ehsguidelines)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Instructions

Provide answers to each of the following questions.

If the answer is "yes" to one of the questions in part A, the sub-project/activity is in Category “A” and is not eligible for funding because CRA can only include category B or C of the activities. Go to Part C to indicate that it is a Category “A” project.

If the answer is "no" to all of the above questions, go to Part B.

²² IUCN – International Union for Conservation of Nature

²³ ‘Near’ in the case of this sensitivity assessment is defined as 1 kilometer

Part B: Social and Environmental Impacts of the Sub-project/Activity

See the Category Selection Guide to determine the Project classification. No projects will be eligible for funding if as a result of the project, even with mitigation efforts and proper use, there exists or will exist a substance, condition, or circumstance that represents a likely risk of significant harm to the environment or to human health because of the physical, chemical or biological effects of such substance, condition or circumstance. [Annex 6](#) contains simple mitigation measures and examples. If such risks as those mentioned above would remain after application of one or a combination of these simple mitigation measures, the project is not eligible for funding.

Environmental and Social Risk Screening and Categorization Tool (ESR)					
Q1	Does the sub project/activity require significant extraction of sand, gravel, laterite, or similar materials or non-renewable resources?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q2	Does the sub project/activity risk contributing to the production of significant amounts of additional waste, emissions, or other pollutants that cannot be mitigated through the simple mitigation measures outlined in Annex 11?	In soil	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
		In air	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
		In water	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Q3	Does the sub-project/activity require, or will it promote the use of chemicals?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q4	Does the sub-project/activity present any significant threat to sensitive aspects of the environment, such as wetlands, water quality, potable water sources, fisheries or forests or rangelands that cannot be mitigated through the simple mitigation measures outlined in Annex 11?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q5	Are there potential negative effects on geologically unstable areas, areas susceptible to erosion, landslide prone locations or areas prone to soil collapse that cannot be mitigated through the simple mitigation measures outlined in Annex 11?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q6	Does the sub-project/activity present any threats to biodiversity, such as loss of native flora or fauna or any interference with migrating mammals or birds, increased poaching or stress to natural habitats that cannot be mitigated through the simple mitigation measures outlined in Annex 11?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q7	Does the sub-project/activity present any significant risk to health and/or safety of the staff or local residents during and/or after construction because of accidents, HIV and AIDS or other health issues that cannot be mitigated through the simple mitigation measures outlined in Annex 11?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q8	Does the sub-project/activity risk causing or perpetuating conflicts between different users or between them and the area's populations, accentuating social inequality or altering livelihoods that cannot be mitigated through the simple mitigation measures outlined in Annex 11?			Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q9	Does the sub-project/activity require a significant increase in use of renewable resources such as harvesting of wood that cannot be mitigated through the simple mitigation measures outlined in Annex 11?			Yes <input type="checkbox"/>	No <input type="checkbox"/>

Q10	Does the sub-project/activity risk impacting a river, watercourse, wetland or lake through activities including dredging, filling, recovery or backfilling for any purpose whatsoever?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q11	Does the sub-project/activity involve irrigation using traditional methods (canals, flooding of fields, sprinklers or spray irrigation)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q12	Will the sub-project/activity require new drilled or dug wells (forages or puits)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q13	Will the sub-project/activity lead to increased human, animal or plant disease vectors?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q14	Is there a risk in degrading the aesthetic value of landscape?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q15	Will the sub-project/activity risk negatively affecting women by causing loss of their employment or ability to contribute to decision making?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q16	Will the sub-project/activity risk disruptions to pastoral activities that can be mitigated? (For example, limited obstruction of the movement of livestock, some pasture degradation)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q17	Is the sub-project/activity limited to training, technical assistance with no use of agrichemicals, infrastructure or otherwise resulting in alteration of physical property?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q18	Will the sub-project/activity utilize funds to function as a facility to sponsor sub-projects?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q19	Does the project require any involuntary physical or economic displacement, i.e., temporary or permanent acquisition of land, buildings or other assets, including trees and crops, or temporary or permanent loss of assets, restriction of access to assets, including use of common resources? ²⁴	Yes <input type="checkbox"/>	No <input type="checkbox"/>

²⁴ Involuntary resettlement refers to both physical displacement (removal or loss of shelter) and economic displacement (loss of assets or access to assets resulting in loss of source of income or livelihood²⁴) as a result of an Acquisition²⁴ of land and/or restriction on the use of land related to the project. Relocation is considered involuntary when affected persons or communities do not have the right to refuse to allow the acquisition of their lands or restrictions on the use of their land to cause physical displacement or Economic. This situation arises in the following cases: (i) legal expropriation or permanent or temporary restrictions on land use; and (ii) negotiated transactions in which the purchaser may resort to expropriation or impose legal restrictions on land use in the event of failure of negotiations with the seller. Voluntary resettlement is the result of land transactions, i.e., transactions on the market in which the seller is not obliged to sell and the purchaser cannot resort to expropriation or other binding procedures permitted by the host country's judicial system if negotiations fail. These should be legally recorded market transactions or documented land donations in which the seller is given a genuine opportunity to retain the land and to refuse to sell it and is fully informed about available choices and their implications. However, if such voluntary land transactions may result in the displacement of persons, other than the seller, who occupy, use or claim rights to the land in question, then involuntary resettlement applies to those persons.

Voluntary resettlement is the result of land transactions, i.e., transactions on the market in which the seller is not obliged to sell and the purchaser cannot resort to expropriation or other binding procedures permitted by the host

Category Selection Guidance

If the answer is "Yes" to at least one of the issues between Q1 and Q9, skip to the end of the form to indicate the sub-project/activity Category is B1 and an ESIA would be required, and the project is not eligible.

If the answer is "yes" to any questions between Q10 to Q12, then complete the form in Part (D) below on Evaluation of Water Sources to determine if the project is a B1 or B2, which will be verified by USADF and MCA.

If the answer is "no" to all questions between Q1 and Q9 and is "yes" to at least one of issues between Q13 and Q16, skip to the end of the form to indicate the sub-project/activity is Category B2 and an ESMP will be sufficient, (to be confirmed with BNEE).

If the answer is "no" to all questions (Q1 to Q16) and yes to Q17, move to the end of the form to indicate the sub-project/activity is Category C.

If the answer is "yes" to Q18, continue to Section C to indicate that the project is under category D and is not eligible.

If the answer is "Yes" to Q19, the relocation must be confirmed not to be involuntary resettlement as defined in (1) below and demonstrated to meet good standards for voluntary transactions as described in (2) with documentation supplied as required in part C.

country's judicial system if negotiations fail. These should be legally recorded market transactions or documented land donations in which the seller is given a genuine opportunity to retain the land and to refuse to sell it and is fully informed about available choices and their implications. However, if such voluntary land transactions may result in the displacement of persons, other than the seller, who occupy, use or claim rights to the land in question, then involuntary resettlement applies to those persons.

Part C: Classification of Project/Activities

The Classification of Subprojects / Activities will be validated by BNEE assessments required by identified category (note: MCA-Niger reserves the right to require additional environmental and social assessments if necessary, based on the scope and potential impacts of the identified project).

Check the appropriate box based on the category selection orientation above and submit it.

- ☐ Category A: Sub-project/activity not eligible for funding.
- ☐ Category B1: Sub-project/activity not eligible for funding.
- ☐ Category B2: If the effects are very limited, as agreed by BNEE, simplified ESMP (as found in [Annex 6](#)) may be sufficient.
- ☐ Category C: No ESMP is required.
- ☐ Category D: Sub-project/activity ineligible for funding.
- ☐ RAP required in accordance with IFC performance standard 5. Public consultations are required.

Date cleared by BNEE: _____

Complete during initial screening/site visit

Activity (List known chemical inputs, if any)	Potential Environmental/Safety Impact and Causes	Potential mitigation measures or Alternative approaches
Additional rows as needed		

CLEARANCE Page

Initial Project Review

Project Environmental Recommendations (Any special considerations needed to be included in project design and implementation plans):

1. Requires a simplified ESMP with Project Design

State reasons:

Drafted by: _____ Position: CPC Date: _____

Reviewed by: _____ Position: Regional Director Date: _____

Partner Review: _____ Position: IBE Date: _____

PROJECT DEVELOPMENT

Reviewed by: _____ Position: Partner Date: _____

Recommendations (mitigation measures should be reflected in chart above):

Final Review and Clearance

- ☐ Project does not require any special environmental considerations.
- ☐ Project includes appropriate environmental compliance considerations.
- ☐ Grant Agreement to include the Conditions Precedent or covenant noted below.

Comments /Requirements:

Clearance: _____ Position: Regional Director Date: _____

Part D: Evaluation of Water Resources

If the sub-project proposes to increase the use of water resources, USADF must complete the following form in the due diligence stage and the categorization of projects. The main doctrine of the MCC Environmental Guidelines and SFI Performance Standards stipulates project activities should improve, or at least restore, livelihoods and ecosystems in the project area. In all cases, the

use of new and/or existing water sources for proposed grant activities will be verified to ensure expanded use will not negatively impact established use patterns or overall availability to meet a community's basic needs. If the proposed grant requires the use of an existing water source or the development of a new water source (i.e. pond, well, borehole, etc.) the following information must be provided for evaluation by USADF. The following sheet must be evaluated by a hydrology or hydrogeology expert.

Name of the Assessor _____

Question: Will the sub-project involve a change or modification in the demand for an existing water source? Yes/No. If yes, answer the following questions.

	Detailed Questions	Explanation
Q1	What type: pond, well, borehole or others	
Q2	A. Does the water source often or occasionally become dry? B. At what period of the year C. Frequency - Every year, all years?	A. B. C.
Q3	What are the current uses of the water source(s)? (Irrigation, livestock consumption, human consumption, washing, etc.)	
Q4	How many households, acres under irrigation or livestock rely on this water source?	
Q5	How will the water source be used in the proposed grant?	
Q6	What is the level of anticipated increased demand on the water source in the proposed subsidy?	
Q7	Are there alternative water sources in the region? If so, what are they?	
Q8	A. Are there other water sources in the area? B. How far away? C. How deep? D. Is it sometimes dry? D1. If so, how often?	A. B. C. D D1.
Q9	If there are other water sources in the area, briefly describe the topography of the area between the current and proposed sources (if the proposed source is greater or less than existing sources, provide piezometric data for the site (if available))	

Question: Will the sub-project involve the establishment of a new water source? Yes/No

If yes, answer the following questions

	Detailed Questions	Explanation
Q10	What type of source: pond, well, borehole, other	
Q11	How will the water source be used in the proposed grant? (Irrigation, washing, etc.)	
Q12	A. Are there other water sources in the area?	A.

	B. How far away? C. How deep? D. Is it sometimes dry? D1. If so, how often?	B. C. D D1.
Q13	If there are other water sources in the area, briefly describe the topography of the area between the current and proposed sources (if the proposed source is greater or less than existing sources, provide piezometric data for the site (if available))	
Q14	The estimated number of households, acres of irrigation or animals that depend on this proposed water source?	Households _____ Irrigation acres _____ Livestock _____

Evaluator's notes:

Methodology applied in the evaluation and results (in brief):

Annex 6: Environment and Social Management Plan (ESMP) Template

(As required for B2 projects)

Potential negative impacts and mitigation measures

First, consider the negative effects and possible mitigation measures, with a focus on avoiding, eliminating or reducing these effects. The table on the ESMF will be consulted. This table is also reproduced in [Section D Inter-Institutional Agreement](#) between the Ministry of Agriculture and Livestock of the Republic of Niger and the Millennium Challenge Account-Niger. It summarizes the main negative effects that could result from subproject activities and lists examples of mitigation measures. This will serve as a useful checklist in the preparation of a simplified ESMP, but it should be noted that the mitigation measures are only examples and not an exhaustive list.

Content of Simplified ESMP

Any ESMP, including a simplified one, consists of the set of measures to be taken during construction and operation of a project to eliminate adverse environmental and social risks and impacts, offset them, or reduce them to acceptable levels. It is best to anticipate and avoid risks and impacts in the first place. Next best is to minimize or reduce the risks to acceptable levels (using the [World Bank Group EHS Guidelines](#) or national requirements, whichever is stricter). These first two steps mean that the project is proactively designed for environmental and social acceptability. If the first two approaches do not eliminate impacts, then one designs mitigative measures that may further reduce risks and impacts. Lastly, if significant residual impacts remain, compensate for them or offset them (for example, enhance or replace trees or habitats that are altered).

The content of an ESMP includes: mitigation, monitoring, institutional arrangements (responsibilities and needs for capacity development), schedule and costs and integration into the project for effective implementation. For the purposes of the Simplified ESMP, a template has been developed. The Simplified ESMP should be no longer than five pages.²⁵

²⁵ If the ESMP needs to be lengthy, this suggests that more impacts need to be avoided through re-design of the project or that it is not in a B2 category and may require an ESIA.
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SIMPLIFIED ESMP TEMPLATE

1. Subproject Description (2 pages maximum)

Use final project description and include the following:

Title: _____

Location: Region/Department/City/Village/Site_____.

Estimated costs²⁶: _____ FCFA

Duration: Month/Year to Month/Year_____.

- I. Objectives and intended results/achievements
- II. Construction requirements and any land clearing or preparation work prior to construction
- III. Off-site locations, such as access roads or trails, parking areas or storage locations needed for the subproject but not located on the main site.
- IV. Operations: Inputs and sources; Processing, machinery, water usage, waste generated
- V. Life expectancy of subproject. Permanent or will there be a need to restore the site?
- VI. All permits or licenses needed, and which ones obtained

2. Mitigation Measures

Prepare a Table of Mitigation Measures, listing all measures needed to reduce impacts to acceptable levels. See table below, which is illustrative only.

ESMP Table 1: Mitigation Measures for Subproject _____

Impact	Mitigation Measure with Technical Details	When Required and Duration?	Where Needed	Responsible Party to Conduct/ Install	Initial and Recurrent Costs	Funded By

Institutional Arrangements and Capacity Development

- For the above mitigation measures, what, if any, special training or capacity development is desirable or required for the grantee, a contractor or other entity?
- What government agencies are involved in the mitigation measures, e.g., does Water Service need to issue a permit for a well? Who tests the water?

Risks

- What, if any, risks might be associated with the effective implementation of these mitigation measures?

3. Monitoring

²⁶ Include the cost of all environmental and social mitigative measures and any costs to purchase land or other assets in a voluntary arrangement of willing buyer-willing seller.
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Prepare a Table for Monitoring, listing all monitoring planned. See table below, which is illustrative only.

ESMP Table 2: Monitoring for Subproject _____

Measure Or Issue	Frequency of Monitoring and Timing	Method and Sampling Locations if needed	Who monitors?	Role of DEESE or BEEI in monitoring	How to determine success of the mitigation measure	What corrective action might be needed?	Cost	Funded By

Institutional Arrangements and Capacity Development

- For the above monitoring, what, if any, special training or capacity development is desirable or required for the grantee, a contractor or other entity?
- What government agencies are involved in the monitoring in addition to BNEE /DEESE, e.g., does Hydraulique need to monitor water quality or quantity in wells?

Risks

- What, if any, risks might be associated with the monitoring?

Examples of a simplified ESMP responses and mitigation measures can be found in this link:

[Examples of ESMP Responses](#)

Annex 7: Trafficking in Persons (TIP) Risk Assessment Tool

This tool identifies and rates TIP risk in projects funded by the MCA Grant Facility. Should a risk be identified and rated as High, the grant recipient must develop and implement a TIP Risk Mitigation Plan. The Grant Manager is responsible for ongoing risk evaluation at all project sites. To conduct the TIP risk assessment, the grant evaluator will conduct field missions and interview key stakeholders of both the project as well as similar projects in the area during the screening site visit process and include the Risk Assessment Tool as part of the site visit report.

The questions will be used to evaluate and determine the risk level. Answers should be based on interviews with people in and outside the immediate project community, TIP experts, and individuals involved with ongoing projects in the area, etc. For each category, provide an overall risk assessment by categorizing it as High, Medium or Low.

Trafficking in Persons Risk Assessment Tool
<i>Project location risk</i>
<ul style="list-style-type: none"> • Is there an existing problem or pattern of TIP (or related forms of exploitation such as indentured/child labor) in the project area? Is the area a destination, recipient and/or a transit route for trafficking? • What is the extent/nature of in and out migration in the project area? • Are there other factors existing in the community that could facilitate trafficking and related forms of exploitation (e.g. attitudes that children should earn money to support parents, exploitative or corrupted traditional practices?)
Overall risk assessment and justification of response
<i>Project implementation related risk</i>
<ul style="list-style-type: none"> • Is the project likely to involve an increase in the demand for laborers that come from outside the project area? • How is labor being recruited for the project? If this is being done through recruiting agents, are the workers required to pay fees? • Does the project involve improvements in transport infrastructure or another factor that might lead to an increase in migration? • Is the project likely to increase demand for commercial sex? To what extent is this demand likely to be met by forced/coerced women and/or minors?
Overall risk assessment and justification of response
<i>Possible TIP risks following project completion</i>
<ul style="list-style-type: none"> • Does the project involve the development of things like large agriculture perimeters, new transport routes, large processing plants etc. that could increase the demand for labor or create new migration paths in previously remote communities? • Is there a reason to believe the project will lead to significant changes in the lifestyles of local communities? What kind of changes? • Is the project likely to increase demand for paid sex? To what extent is this demand likely to be met by forced/coerced women and/or minors?
Overall risk assessment and justification of response

Risk Rating for the Project: High/Medium/Low

Risk Mitigation Plan Required: Yes/No

Annex 8: Scorecard Workbook

The Scorecard Workbook, a consolidated submission, screening, and scoring tool ([Scorecard Workbook](#)) is used by the USADF CPC and Washington staff in Application and Selection Process Steps 1-4 (outlined in detail in Section 5.1 of the Manual) to help document basic eligibility of applications for consideration; prioritize applications for further due diligence; and for those applications that meet preliminary ERR assessment and Environmental and Social requirements as per the ESS and TIP Tools, provide a basis for ranking potential projects for proposal development.

Screening to get to Shortlist of Applications to go to MCA-Niger for NO

Screen 1

The Screen 1 Test is a simple screening step conducted during Step 2 of the Selection and Award Process. See Section 5.1 for details.

Screen 1 Test		Yes	No
1	In Geographic coverage area (commune as per Annex 1)?		
2	100% African?		
3	Group Type/Eligible Applicant (Section 3.2, Annex 2) - producer group or processor, Women/Youth, MSME?		
4	Eligible Activity – CRA productivity, resilience, mitigation? (as per Table 3)		
5	Complete Application (revenue, cost and income numbers filled in)?		
6	Minimum cost-share contribution included with credible source?		
7	Formal Registration Complete, or on track to be completed by grant approval?		

If Application receives “YES” to all seven (7) Screen 1 criteria, then Applications will proceed to Screen 2; if answer to any of questions 1, 3-6 is “NO”, the Application will be placed in the “No” group. If the only “NO” answer is criteria 2 the Application will remain in the “yes” group and, as stated in IAA. If applicant is ultimately selected for grant award, funds will be transferred from USADF to the Partner for award and disbursement.

Screens 2, 3 and 4 described in more detail below will be used sequentially to develop the shortlist of Applicants that will be sent to MCA-Niger for NO and eventual due diligence and further scoring and ranking. Results of all four screens are recorded in the USADF Country Log File [insert link].

Screen 2

During this second screen and pulling from the Application, revenue forecasts, costs, income forecasts, and requested grant value are assessed for reasonableness and preliminary compliance with requirements and likelihood of being recommended for full proposal development after site visit and Screen 5 using the “yes”, “maybe”, or “no” decision criteria. Note that narrative descriptions are not required to be entered into the Scorecard Workbook at this time as this will

happen during Screen 4, after Site Visits and validation of reported forecasts and costs.) Scorecard Table 1 below outlines the seven (7) Screen 2 criteria for yes, no, maybe scoring.

The Screen 2 tab of the Scorecard worksheet will automatically place the application into one of three groups. Results of Screen 2 will be shared with USADF Washington Staff that will then run Screen 3 to compile list of recommended Applicants for the Shortlist.

Yes Group	Maybe Group	No Group
four or more "yes"	if not a "yes", three or less "no"	four or more "no"

Screen 3

The objective of Screen 3 is to compile a list of a minimum of 30 Applications for the shortlist for Round 1. USADF Washington Staff and the CPC will jointly look over applications in the “Yes” group and select strongest applications consistent with the CRA Grants Facility criteria. If there are fewer than **30** then the team will look at the “maybe” group to bring the total to at least 30, and finally, look at then the “no” until **30** applications are identified as the most promising for further development. As an example there may be projects that do not score well against some of the criteria such as Organizational capacity or that respond to special considerations (such as youth and women) and that with BDS could become “yes” Applicants.

Screen 4

Based on Screen 3 selection, the CPC and Partner teams (Assessment Team) conduct site visits to the Applicants’ sites, complete a Site Visit Report for each site visit, and fill in and/or adjust the Scorecard Workbook (now including narrative descriptions) for each Application. After ensuring the preliminary ERR, ESS and TIP screenings meet the mandatory thresholds the CPC transmits the documentation to USADF in Washington for review and validation prior to submission of the Shortlist to MCA-Niger for No Objection.

Scoring and Selection for Full Proposal Development

Screen 5

After MCA-Niger No Objection of the Shortlist, the Screen 5 scoring process is used to prioritize, or rank Applications to receive assistance from the Partner for further development of full proposals, giving preference to those Applications that appear to have the greatest potential to affect large numbers of beneficiaries, to maximize returns on the grant investments being made, and to support those applications that appear to have clear pathways to further growth beyond the current project life. During this screen numerical scores are assigned to each criterion based on information gathered during the due diligence site visits in Step 3 in the Selection and Award Process (See Section 5.1 for details) and scores are verified by a USADF Review Committee in Washington and adjusted if needed. Scorecard Table 1 below provides the scoring and weighting used during this final screening process.

Scorecard Table 1: Summary Screen 2 and Screen 4 Requirements

	Criteria	Definition/Descriptions	Screen 2-4 Tests	Screen 5 Test (points)
1	People Impacted	<p>Number of people impacted (or direct beneficiaries) in YEAR 1 is the total number of individuals who will receive direct benefit from the project proposal. This includes:</p> <ul style="list-style-type: none"> • Members OR non-members selling raw materials to the applicant enterprise / cooperative within the past two years • Members OR non-members to receive trainings from the applicant enterprise / cooperative • Members OR non-members gaining access to revolving loan or input funds planned in the proposed project • Full time or part time employees funded through activities related to the proposed project <p>This does NOT include:</p> <ul style="list-style-type: none"> • Members not directly benefiting from the proposed project • General community members not directly benefiting from the proposed project • Family members of direct beneficiaries who are not benefiting from the proposed project independent of the direct beneficiary <p>Note: Partner will make sure there is no double counting beneficiaries who will receive multiple benefits from the proposed project.</p>	>200 = Yes ; 199-100 = Maybe; less than 100 = No	15
2	Revenue Growth	<p>The proposed percentage increase of annual revenue over the baseline revenue reported. This revenue growth percentage is calculated using the below formula:</p> <p><i>projected revenue of final year of proposed project / baseline annual revenue reported</i></p>	> 200% = Yes ; 199-100% = Maybe; less than 100% = No	20
3	Multiplier:	<p>The multiplier indicates how many USD are generated for every 1 USD invested. The multiplier figure is calculated using the below formula:</p> <p>(Cumulative Revenue – 4 x Baseline) (USD) / proposed grant value (USD)</p>	> 2 = Yes ; 1.99-1.00 = Maybe; less than 1.00 = No	10

		<i>Note: The estimated grant value should be fairly accurate because it impacts the multiplier.</i>		
4	Household/ Income Growth	<p>Income growth is a proxy for the projected income to be distributed to individuals supplying raw materials to the applicant enterprise / cooperative. This income growth percentage is calculated using the following formula:</p> <p><i>(projected value of raw materials purchased in the final year – value of raw materials purchased in baseline year) / value of raw materials purchased in baseline</i></p>	> 100% = Yes ; 99-50% = Maybe ; less than 50% = No	15
5	Follow on Financing:	<p>Specific name (s) of credible* potential follow on financing identified by the Applicant and provided in the Application (i.e. local bank, international donor, in-kind, etc.).</p> <p>“Credible” means the group has contacted the source of follow on financing and understands the requirements to obtain financing from this source.</p> <p>If the goal of the group is not to access follow-on financing, note why they do not plan to seek outside sources of financing. For example, the group may not want to take on a bank loan with high interest rates because they are generating sufficient revenue through input sales or a rotating crop purchase fund</p> <p>Another grant is considered to be an acceptable form of follow-on financing. Loans to individual members are considered similarly to loans to the organization.</p> <p>If no names of follow-on funders are provided, then the score for that category will be 0.</p>	2 identified – Yes ; 1 identified Maybe ; 0 identified – No	10
6	Org Capabilities:	Demonstrated achievements or ability to work together based on description	Yes – strong evidence; Maybe – some evidence; No evidence	10

7	USD and Cost –Share Contribution	<p>Cash and/or value of in-kind contribution from Applicant (i.e. land, labor, livestock, buildings, major equipment, etc.)</p> <p>Applicants willing to provide cost-share greater than minimum contribution will receive extra points.</p> <p>Applicants not able to meet the minimum requirements will not be eligible for grant award.</p> <p>Example:</p> <p>Minimum co-finance required = 0 points 1% - 19.9 % above minimum co-finance required= 0-5 20 % - 29.9% above minimum co-finance required = 7 30% or more above minimum co-finance required = 10</p> <p>If no documented and source of cost-share contribution is included in the Application then Applicant will get a “no” in Screens 2-4 and/or 0 points for this criterion.</p>	See Table 4 for min requirements	10
8	Other, including Gender and Social Inclusion consideration	<p>Women and youth impacted by the project</p> <ul style="list-style-type: none"> • Less than 35% =0 points • 35% to 50% will get 3 points • 50 % - 75% will get 5 points • 75% - 95% will get 7 points • 95% - 100% will get maximum points =10 		10
9	Innovation	Investment in innovative or renewable technologies.		5
		Total		105

Annex 9: Request for Application (RFA) - Round 1



Issue Date: X November, 2018 Closing Date: 8

Contact Information: RFA1NigerCRA2019@usadf.gov www.usadf.gov

REQUEST FOR APPLICATIONS (RFA) NUMBER: RFA-NIR-01-19

**Climate Resilient Agriculture
Grants Facility:
Millennium Challenge
Account-Niger**

Under the Millennium Challenge Compact, dated July 29, 2016 (Compact), the Millennium Challenge Corporation (MCC) and the Government of Niger (GoN) agreed on a program that includes a project designed to increase incomes for small-scale agricultural- and livestock-dependent families in Eligible Communes and Livestock Corridors in rural Niger by improving crop and livestock productivity, sustaining natural resources critical to production, supporting growth of agricultural enterprises and increasing market sales of targeted commodities (Climate-Resilient Communities Project).

The Climate-Resilient Communities Project (CRC Project) includes a Climate Resilient Agriculture Activity (CRA Activity) that aims to support sustainable increases in productivity and farm incomes in eighteen targeted communes by strengthening the resiliency of farmers and agro-pastoralists to the impacts of climate in Tillaberi, Dosso, Tahoua and Maradi Regions.

The CRA Grants Facility, in turn, is a sub-activity under the CRA Activity designed to support productive assets and investment needs, integrated with provision of business development services (BDS), to target beneficiaries in Niger.

Through this Request for Applications (RFA), USADF and MCA-Niger are seeking applications for grant financing and local support from qualified cooperatives, producer groups, and enterprises with innovative solutions to increase investment in capital assets and adoption of environmentally sustainable agricultural practices that extend their own capabilities to support sustainable growth of agricultural enterprises and increase incomes of smallholder agricultural populations, focusing on vulnerable populations.

The CRA Grants Facility will award grants and provide technical assistance and BDS to (1) cooperatives and producer/processor groups, (2) women's groups and youth groups, and (3)

micro, small, and medium-sized enterprises (MSMEs). The projects will be selected on a competitive basis and further developed with the support from USADF and its Partner in Niger. Grantees will be expected to make co-financing contributions as described in greater detail below. The CRA Grants Facility will provide grants and accompanying business development services to eligible Applicants from the eighteen CRA eligible communes: Tessa, Mokko, Tombo Koirey I, Tombo Koirey II, Kargui Bangou, Dan Goulbi, Sabon Machi, Chadakori, Guidan Roundji, Konni, Tsernaoua, Malbaza, Doguérawa, Malbaza, Kouré, Liboré, N'Dounga, Tanda, and Gaya.

1. The three categories of eligible Applicants include the following. **Cooperatives and Producer/Processor Groups** – These include cooperatives and groups registered with the Government of Niger or an official local/regional body that is engaged in some form of productive or value-addition activity in the agricultural sector. Groups who are not yet registered need to be registered before signing of Grant Agreements, and must provide verification of prior commercial activity as a group for at least one year.
2. **Women's Groups and Youth Groups** - These include groups of women and/or youth engaged in some form of productive or value-addition activity in the agricultural sector. Eligible groups include women's savings groups formed as part of MCC's Irrigation and Market Access Project and existing savings groups with a record of operation. Groups need to fulfill one of the following criteria in order to receive grant funds: (1) be registered with the Government of Niger or other official body as a women's group or a youth group; (2) obtain a recommendation from a reputable NGO or MFI as a women's group, savings group, credit group, or youth group (youth groups may also obtain recommendation from a reputable educational institution); or (3) if not yet registered or do not have NGO/MFI recommendation at the time of application, need to register during application process and meet USADF assessment of commitment to the project (which may include demonstration of prior commercial activity as a group). Women's groups must have 100% women's control and participation of the leadership and a minimum of 95% women membership. Youth groups must have 100% control and participation of the leadership and a minimum of 95% youth membership. Youth is defined as being between the ages of 15 and 35. Groups who are not yet registered need to be registered before signing of Grant Agreements and must provide verification of prior commercial activity as a group for at least one year.
3. **Micro, Small, and Medium-sized Enterprises (MSMEs)** – These include MSMEs in the agricultural sector that can provide documentation or verification of prior engagement in commercial activity. Established farms registered as MSMEs and operating on a commercial basis for a least two years are eligible. Enterprises determined to be opportunistically formed solely for the purpose of accessing grant funds will not be eligible. MSMEs must provide verification of operations as a business for at least 2 years and completion of registration before signing of Grant Agreement.

NOTE: *Individuals not registered as a business are not eligible for funding under the CRA Grants Facility. A registered business with an individual proprietor is eligible.*

Activities and Projects Eligible for Funding

The Table below provides an illustrative list of activities each of the five categories of eligible project activities that are eligible for funding. Activities and projects proposed for grant funding must (1) augment productivity (or reduce productivity losses); (2) support resilience through

income diversification; and/or (3) mitigate environmental or climate risk impact. Projects should meet at least one of these three criteria to be eligible for funding under the CRA Grants Facility.

1. Rain-Fed crop production
Production and/or distribution of drought-tolerant seeds
Purchase of agricultural equipment and machinery
Conservation agriculture and integrated soil fertility management (zaï, mulching, fertilizing trees, crop rotation etc.) as complementary investments
Devices preventing wind erosion (live fencing, wind-breaks) as complementary investments
Compost production
Storage infrastructure and other technologies to reduce post-harvest losses (transport)
2. Small-Scale Irrigation
Irrigation sale and service/maintenance shops (e.g. drip irrigation, solar irrigation, treadle pumps)
Purchase of individual pumps and pipes
Purchase water conservation technologies for water distribution (e.g. drip irrigation, California system.)
Wells and bore holes for small-scale irrigation
3. Livestock Integration
Production and distribution of fodder
Production of inputs that contribute to small ruminant and cattle rearing and fattening
Irrigated fodder production, processing, harvest storage units - natural and/or irrigated
“Cattle Nutrition block” processing and storage units
Village poultry production (initial stock, housing, feed storage)
Intensive fish production
Purchase and/or construction of animal enclosure units
4. Agro-Processing
Processing and sale of non-timber forest products not prohibited by the IFC Exclusion List
Sorghum, rice, millet, cowpea processing and sale
Meat and fish processing and sale
Fruit and vegetable drying, storage, and processing
Oilseed and legume processing
Processing and sale of other cash crops – e.g. moringa, gum arabic, etc.
Dairy collection, cooling, storage and processing, central plant
Secondary dairy cooling plants (small size in villages)
Milk transportation equipment
5. Input Delivery
Compost manufacturing and sale
Retail shops for seed and input sale
Seed production and sale
Small scale feed mills and feed storage
Retail shops for feed and veterinary medicine - Feed shop

Additionally, the following three activity categories are eligible for grant funding if they are integrated into project plans that fall into one of the five categories above.

- Productive partnerships that support agricultural sector growth;
- Research and Development for productive inputs, climate resiliency practices and technologies; or
- Marketing, Promotion and Trade activities for groups, associations and MSMEs.

Grantee Contribution Requirements

Grantees are expected to provide cost-share contribution (i.e. co-financing) into the project to help ensure they are both committed to the project and have some demonstrated capacity to

implement the project (described in more detail below) and will be required to document and quantify all their contributions as outlined in their Grant Agreements. The minimum contribution requirements by grant size are shown for all three eligible applicant types by grant size in the table below. Applicants that are able to contribute a higher rate of co-financing will receive priority consideration under the Grants Facility.

Co-Financing/Cost-Share Contribution Requirements

Grant Size	Farmer Groups, Associations, Cooperatives	Women's Groups and Youth Groups	MSMEs
\$100,000-\$250,000	15% (of which 8% to be cash and/or other financing)	10% (of which 5% to be cash and/or other financing)	30% (of which 10% to be cash and/or other financing)
\$50,000-\$100,000	10%	8%	20% (of which 5% to be cash and/or other financing)
\$10,000-\$50,000	8%	5%	8%

In-kind contributions with some documentation of valuation, as follows, are eligible to count toward Grantee contributions. USADF or MCA-Niger reserves the right to reject proposed in-kind contributions that do not meet verification or documentation standards. All in-kind contributions must be directed towards the business plan or project proposal that the applicant proposes for grant funding. In other words, the applicant may not count assets as in-kind contributions that will not be utilized in implementing the business plan.

For projects that receive grant awards of over \$100,000 and for MSME projects over \$50,000, as outlined in the table above, a minimum cash contribution of 5%-10% is required with letter of commitment included in the Application and evidence of the Grantee's ability to meet the projected need contribution prior to each disbursement and as agreed and documented in the Grant Agreement. As per USADF standard procedures, any non-grant funds, including required cash contributions shall **not** be commingled in the account that shall be opened to receive any eventual grant funds.

Cash contributions may include working capital contributions for cost of inputs, raw materials, etc. Applicants must document that there is sufficient capital set aside for these contributions to be counted, and contribution will be verified by the Partner during project implementation. Value should be documented based on purchase receipts/invoices or written quotations from the supplier. Inputs obtained without some documentation of value cannot count towards the Grantee contribution requirement.

In addition, credit from any verified financial institution or other partner organizations (e.g., donors, NGOs, financial institutions) which directly finances activities in the applicant business plan shall be included as a cash contribution. More specifically, loans from any commercial banks or accredited non-bank financial institutions to fund any assets or activities included in the Applicant's business plan (and Application) are considered as eligible cash contributions, even if they are not from CRA Partner Financial Institutions (See Section 3.12 for more on CRA Partner

Financial Institutions). USADF and MCA-Niger reserve the right to require an Applicant to restructure the financial elements of any proposal after consultation or may reject the proposal based on lack of adherence to selection criteria and co-financing contribution requirements.

NOTE: Uncompensated labor will not be counted as a contribution.

Projects selected under the CRA Grants Facility for grant award and formal Grant Agreement must meet an Economic Rate of Return (ERR) threshold of 10% over a 10-year time horizon. In addition, the CRA Grants Facility will promote projects that are socially and environmentally sustainable, do not harm the natural environment, and do not jeopardize beneficiary and worker health and safety. Project activities shall not include activities on the IFC and CRA Grants Facility exclusion lists, result in involuntary resettlement, adverse environmental risks/impacts, or health and safety risks/impacts. Under this Facility, project activities categorized as A, B1, or D under the OECD Common Approaches, Operational Policies of the World Bank, IFC Performance Standards and MCC Environmental Guidelines will not be eligible for funding.

For applicants requiring access to land for their proposals (e.g. for production, restoration of degraded land, installation of equipment, or irrigation), agreements must be in place that will be valid for a period adequate to amortize any Grant investments made before any capital investments are made.

Maximum individual grant award size is USD 250,000, and total possible grant duration is three years. Grants will be awarded in CFA Francs. USADF reserves the right to fund any or none of the applications it receives in response to this RFA. Please refer to the Program Description for a complete statement of goals and expected results.

If your organization decides to submit an application. USADF should receive it by the closing date and time indicated at the top of this cover letter by e-mail to RFA1NigerCRA2019@usadf.gov. For the purposes of this RFA, the organization applying is considered to be the Applicant.

Issuance of this RFA does not constitute an award commitment on the part of USADF, nor does it commit USADF to pay for costs incurred in the preparation and submission of an application. Further, USADF reserves the right to reject any or all applications it receives. In addition, final award of any resultant grant agreement cannot be made until funds have been fully appropriated, allocated and committed through internal USADF procedures. While it is anticipated that these procedures will be successfully completed, potential Applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the Applicant. All preparation and submission costs are at the Applicant's expense. If you have questions regarding this RFA, you may contact the email address provided above. All proposals in response to this RFA may be in French or English. If you have a complaint or grievance with regard to this RFA, you may contact GFNigerCRA@usadf.gov.

An electronic copy of this **RFA may be found below**. Additional information about USADF can be obtained from our website at <http://www.USADF.gov/>. Any questions regarding the RFA may also be addressed to RFA1NigerCRA2019@usadf.gov **The submission deadline for proposals is XXXX at 17:59 hours Eastern Standard Time (23:59 Niamey time).**

Annex 10: CRA Grants Facility Application Form

(Note: Applicant to fill blank boxes, USADF Staff will update shaded areas (NA) after the site visit).

Country :	NIGER		Name of Project:			
Estimate of Funding Request:	Local Currency:				Investment Type: NA	
	U.S. \$ equivalent:	NA				
Length of Project (months)		Exchange Rate:	NA			
Legal Name of Applicant:						
Other Names Applicant is known by or does business as:						
Legal Status Type of Applicant:						
*For Enterprise: # of Full Time Employees	Male		Female		Total	
*For Enterprise: # of Part Time Employees						
*For Enterprise: # of Farmers or Enterprises Supplying Raw Materials	Male		Female		Total	
Applicant Contact Points:						
Name of Primary Contact:						
Position:						
Telephone:						
E-Mail:						
Location of the Organization/Business:						
Physical Address:						
Mailing Address:						
City or town [if urban]:						
Village [if rural]:						
Commune and Region:						
Event:	App. Rcvd.					Grant Date
Date						
SIGN-OFF						
<p><i>I understand that a material misstatement or the omission of material facts may stop the United States African Development Foundation from providing funding, may require the termination of any funding that is awarded, and may give cause for legal action by the Foundation. I confirm that I have necessary authority to act for and on behalf of the company in making the foregoing statements and that they are correct, to the best of my knowledge and belief, and that no statements of fact are omitted from this questionnaire which are necessary in order to make the statements herein not misleading.</i></p>						
Applicant						

* Members OR non-members selling raw materials to the applicant enterprise / cooperative within the past two years

• Members OR non-members to receive trainings from the applicant enterprise / cooperative

- *Members OR non-members gaining access to revolving loan or input funds planned in the proposed project*
 - *Full time or part time employees funded through activities related to the proposed project*
- *Please be sure NOT to double count beneficiaries who will receive multiple benefits from the proposed project.*

NOTE TO APPLICANT: The Project Funding Application includes four sections below:

- A. Organization Information
- B. Current Financial Situation
- C. Project Proposal Information
- D. Project Budget
- E. Supporting Documents

Please follow this outline in developing your application request. The answers to the questions below **should be brief and to the point not exceed 10 pages.** If your application is accepted, additional details will be required.

Submission of this Application indicates the Applicant's consent to be contacted for data collection and evaluation, and to provide information and data to independent evaluators as part of the application process even if the Applicant organization does not receive a grant.

APPLYING FOR AN USAID GRANT IS FREE, THERE IS NO FEE ASSOCIATED WITH A GRANT APPLICATION.

A. ORGANIZATION INFORMATION

- 1) The organization was established in _____ (year)
- 2) Date of Legal Registration (Month / Day / Year) ____ / ____ / ____ (month/day/year)
- 3) Please state the mission of your organization/enterprise. Limit response to one paragraph.
- 4) Provide a short description of the most significant achievements your organization has made in the past three years. Limit response to 1 page or less.

Year	Achievements		
2018			
2017			
2016			
2015			

- 5) Provide a short description of how the organization or enterprise generates its revenues. Limit response to one paragraph.
- 6) What is the primary commodity/product that the organization/enterprise produces for revenues? Limit response to one paragraph.
- 7) If applicable, describe the Ownership Structure:

List of Owners		
Name	Citizenship	% Ownership

- 8) If applicable, describe the Governance Structure:

List of Board Members or Executive Committee, Audit Committee			
Name	Citizenship	Title	Gender

- 9) If applicable, describe the Management Structure:

List of Key Managers and Senior Staff			
Name	Qualifications	Years with Organization	Gender

10) The Organization is made up of _____ active, paid up members (_____ male _____ female). Number of members 15-35 years of age _____

11) What are the requirements needed for membership?

B. CURRENT FINANCIAL SITUATION

- 1) List any loans (amounts, term, provider), and other liabilities attached to the organization?

Loan Type	Value	Balance Due

- 2) A) List all sources, amounts, and dates of any donor, government or other outside funding received.

Donor Name	Date	Type (Loan / Grant)	Value

Have you requested any other funding (grants or loans) support from other donors, NGOs, government, private companies, or banks that are still being considered? If yes, please list details below.

Donor Name	Date	Type (Loan / Grant)	Value

B) After the USADF grant has ended, where do you expect to get other sources of funding? If not, why not? Limit response to one paragraph.

List the name (s) of credible potential follow on financing organizations you have identified. (Credible potential follow on financing means: The group has contacted the source of follow on financing and understands the requirements to obtain financing from this source.)

Financer Name	Type (Loan / Grant)	Value

- 3) Does your organization or enterprise have a trained accountant or bookkeeper? Yes / No
What are their qualifications?
- 4) Does your organization or enterprise have 2 years of financial statements? Yes / No
Are the statements audited? Yes / No

C. PROJECT PROPOSAL INFORMATION

- 1) What is the market opportunity, productivity improvement, income diversification, or climate resilient practice the organization or enterprise is trying to capture? Limit response to one paragraph. Provide the names of the buyers associated with the market opportunity, opportunity for income increase for diversification or resilience activity.
- 2) How will this grant allow your organization or enterprise to increase its sales revenues and improve incomes? (50 words or less).
- 3) List primary activities that must be completed to increase revenues and improve farmer incomes?
 - A)
 - B)
 - C)
- 4) What is the biggest risk facing your organization or enterprise and the success of this project? Limit response to one paragraph.
- 5) Currently, if the organization makes an annual profit, how many individuals receive a share of that profit? NOTE: Profit here is defined to be revenues minus all costs (including maintenance, labor and all other input costs).
- 6) If this project is successful:

How many people (total___/men___/women___/persons 15-35___) will have improved incomes?

How will Sales Revenues increase over the next four years?

Baseline Annual Sales Revenues	Year 1	Year 2	Year 3	Year 4

What kinds of costs (e.g., maintenance, labor, and other inputs) will have to be incurred in order to realize these Sales Revenues increases?

What are estimates of how costs will increase over the next four years?

Baseline Annual Costs	Year 1	Year 2	Year 3	Year 4

How will participant incomes increase over the next four years?

Baseline Farmer Incomes	Year 1	Year 2	Year 3	Year 4

Example: If the organization purchased 100 tons of maize from the farmers in the baseline year, how much maize is the organization expected to purchase from farmers in years 1, 2, 3 and 4. Multiply the tons times the price of maize to determine the year to year increase. See the one page guide at www.usadf.gov/apply for additional assistance in estimating future revenues and incomes.

D. GRANT BUDGET

- 1) Estimate the project budget needed for the project to be successful. Please fill in the budget template below. (Attach a proposed budget).
- 2) What will the organization contribute to the project (e.g. money, land, labor, existing infrastructure, etc.)

Amount requested from USADF: _____ (in local currency)

***Organization contribution:** _____ (in local currency)

*Contribution from the proposing organization. May be in cash donations or in kind, including, but not limited to, supplies, infrastructure, volunteer labor, office, storage and meeting space, and organization operating costs not covered by the grant.

How many hectares of land will be under cultivation for this project?

Will the organization contribute land to the project for infrastructure or other activities? If yes, how many hectares.

- 3) Will any other groups be involved in providing technical support for this project? If so, list the organization and the nature of the support.

E. SUPPORT DOCUMENTS

- 1) Provide a copy of your Organization or Enterprise registration and constitution documents. (Required)
- 2) If available provide copies of the past two years of financial statements.
- 3) If available provide a copy of your most recent business plan.
- 4) Provide three references contacts. (Required)
- 5) Letter of commitment for projected cash contribution.

Please list the three references outside your organization:

Name	Relationship	Telephone	E-mail

	Name of Project		
		USADF Costs	Applicant Costs
Category	Description	in Local Currency	in Local Currency
A	INFRASTRUCTURE		
A.1			
A.2			
	Sub-Total		
B	EQUIPMENT PURCHASES		
B.1			
B.2			
	Sub-Total		
C	WORKING CAPITAL / INPUTS		
C.1	used for:		

C.2	used for:		
	Sub-Total		
D	TRAINING		
D.1			
D.2			
	Sub-Total		
E	TECHNICAL ASSISTANCE		
E.1			
E.2			
	Sub-Total		
F	ADMINISTRATIVE SUPPORT		
F.1			
F.2			
	Sub-Total		
G,	VALUATION OF OTHER ASSETS		
	(Grantee Contribution)		
G.1	Land		
G.2	Other (commercial credit, etc.)		
	Sub-Total		
	Grand Total		
	Exchange Rate		
	US\$		

Annex 11: Agreement Template for Grants under \$50,000

Fixed Award Amount Grant (FAA Grant)

Cover Letter

Addressee(s)

Address

Re: Fixed Amount Award (FAA) No. _____, [Title of Project]

Dear Mr./Mrs./Ms. _____:

Pursuant to the authority contained in the African Development Foundation Act, the United States African Development Foundation (hereinafter “USADF” or “Foundation”) hereby awards to _____ (hereinafter “Recipient”) the sum of USD _____ according to the Milestone Budget shown in the Schedule, Attachment 1, to support the Project more fully described in the Project Description, Attachment 2.

By signing this Agreement, the Recipient agrees to the following.

1. The Recipient will comply with the terms and conditions as set forth in the attachments listed following the signature below. This letter and all such attachments together comprise the “Agreement” between USADF and the Recipient.
2. The Recipient will maintain records of transactions related to this Agreement for at least five years after payment of the final milestone. USADF retains the right to examine all or a sample of the Recipient’s records or transactions related to this Agreement.
3. USADF is not liable for reimbursing the Recipient for any amount in excess of the award amount, or outside of the Agreement Period, as provided in the Schedule.
4. The Recipient will obtain written approval from the USADF official designated as the Agreement Officer (AO) prior to any changes to: (a) the activities being supported by this Agreement; (b) the fixed amount of this award; (c) the milestones; or (d) the Agreement completion date.
5. The Recipient will report quarterly on project implementation and achievement of the indicators described in Project Description, Attachment 2 while the Award is active, and agrees to continue to report to USADF on the achievement of the indicators described in Project Description, Attachment 2 for two years after completion of this Award. USADF will provide a template to the Recipient for the quarterly report.
6. USADF will conduct monitoring of the award activities, including site visits as appropriate.

7. On the submission of the voucher for payment of the final milestone, the Recipient must certify that the Award is completed, and the Recipient will make no further claim against USADF after receipt of final payment.
8. USADF may terminate this Agreement upon a 30-day prior written notice to the Recipient if the Recipient, for any reason fails, refuses, or is unable to perform the activities in accordance with this Agreement and its appendices. In such an event, the Recipient shall immediately return to USADF all unexpended funds. Further, USADF may require the Recipient to transfer to USADF custody and ownership of property funded under this Agreement. If USADF terminates this Agreement, the Recipient may submit a claim within 45 calendar days of such termination for any costs incurred in performance of any unpaid or incomplete milestones. The Agreement Officer must determine the amount(s) to be paid by USADF to the Recipient under such claim in accordance with the cost principles applicable to grants awarded by the United States Government. As provided in the Standard Provisions, below, a dishonest act may result in immediate termination.
9. Any dispute under this Agreement will be decided by the Agreement Officer.
10. USADF shall not be liable to or indemnify any third party with respect to any claim, debt, damage, or demand arising in relation to the implementation of this Agreement.

Sincerely,

C.D. Glin

President and Chief Executive Officer

Attachments:

1. Schedule
2. Project Description
3. Standard Provisions
4. Drug-Free Workplace Certification
5. [ESMP] (if required)

[NAME OF GRANTEE ORGANIZATION]

By: _____

[Name, Title]

Date: _____

Schedule

1. PURPOSE OF GRANT

The purpose of this Grant is to provide support for the Project described in Attachment 2, Project Description. This Project is funded under the Climate Resilient Agriculture (CRA) Grants Facility in Niger, pursuant to an Inter-Agency Agreement (IAA) between USADF and the Millennium Challenge Corporation (MCC). The CRA Grants Facility is part of a broader Compact between MCC and the Government of Niger focused on the agricultural sector in Niger.

2. AGREEMENT PERIOD

The effective date of this Agreement is [REDACTED]. The completion date of this Award is [REDACTED], or upon completion of the final milestone, whichever comes first.

3. AMOUNT OF GRANT AND PAYMENT

1. USADF hereby agrees to transfer to the Recipient the amount of US \$ [REDACTED] for the purpose of this Agreement.
2. Payment will be made to the Recipient upon presentation to the USADF Office of Finance and Administration of an original and two copies of a properly prepared voucher using ADF-DRF-1. The voucher must be accompanied by the Agreement Officer's certification that the Milestone being billed has been completed and that any other documentation required by USADF specified with each Milestone has been submitted. Each voucher will be identified by the Award number and will specify the Milestone that is being billed and the fixed amount associated with that Milestone. Payment shall be made within 30 days after USADF receives a properly prepared voucher or the verification by USADF of Milestone completion for which payment is requested, whichever comes later. USADF reserves the right to withhold payment subject to Milestone completion verification. The Recipient is encouraged to submit the payment documentation as e-mail attachments to the e-mail address provided for the Office of Finance and Administration.

3. GRANT BUDGET

1. The following is the Schedule of Milestones agreed on by USADF and the Recipient for funding under this Agreement.
2. The accomplishment of each Milestone will be based on the successful submission or completion of tasks or deliverables delineated for that Milestone.

[PA TO INSERT MILESTONE TABLE HERE]

Project Description

1. BACKGROUND

2. GOAL

The goal is to improve the living conditions for _____.

3. PURPOSE

The purpose of the Project is to _____.
The indicators measuring the purpose of the Project are as follows: [List measurable indicators.]

4. EXPECTED OUTCOMES

The expected outcome is the improved capacity of _____ to _____, as indicated by _____.

5. ACTIVITIES

MILESTONE/ DESCRIPTION	ESTIMATED TIME TO COMPLETE / COMPLETION DATE	DETAILED ACTIVITY

6. KEY PERSONNEL

_____ of [Grantee Organization] is the primary contact and the person responsible for the activities and the proper implementation of the Project.

7. PROJECT OVERSIGHT

USADF will provide project oversight by reviewing submission of deliverables, conducting site visits as needed, reviewing quarterly progress reports and providing feedback. Oversight activities will be coordinated with _____, USADF's Partner organization in _____.

Standard Provisions

1. PUBLICITY

USADF, MCC and the Millennium Challenge Account entity in Niger (MCA-Niger) may make and distribute written materials, films, videotapes, photographs, sound recordings, and other audiovisual materials of the activities funded under this Agreement. Such materials produced by USADF, MCC or MCA-Niger pursuant to this authorization shall not be used for purposes other than information dissemination, documentation of the Program, or in non-commercial publications. The Recipient must provide USADF, MCC or MCA-Niger written permission to use such material for any other purpose.

2. DRUG TRAFFICKING AND DRUG-FREE WORKPLACE

In the event the Recipient or any of its employees or contractors are found to have been convicted or engaged in drug trafficking, USADF reserves the right to terminate the Award, in whole or in part, or take any other appropriate measures including, without limitation, refund or recall of any award amount. Additionally, the Recipient must make a good faith effort to maintain a drug-free workplace and USADF reserves the right to terminate this Award if the Recipient fails to do so.

3. TERRORIST FINANCING

United States policy and law prohibit transactions with, and the provision of resources and support to individuals and organizations associated with terrorism.

4. DISHONEST ACT

The Recipient commits a dishonest act if it makes a false statement to USADF regarding a material fact, misrepresents information, commits fraud, commits theft or any other act USADF determines to be a dishonest act. The commission of a dishonest act by the Recipient may automatically terminate this Agreement. In case of such termination, USADF will require the Recipient to return to USADF all financial and physical property provided under this Agreement. If USADF determines that this Agreement is based on erroneous, false or misleading information submitted by the Recipient, USADF may require the Recipient to return the total value of the Award in cash. In addition, the USADF will terminate the Agreement and the Recipient may be subject to criminal penalties.

5. SECURITIES

The Recipient shall not pledge property funded or provided by USADF as loan collateral or security during the life of the Project. The Recipient shall notify the public, including its creditors, that the United States Government retains a priority reversionary interest in all property financed under this Agreement and that under the terms of this Agreement, creditors may not attach such property to satisfy the Recipient's debts.

6. TAX EXEMPTION

The Recipient agrees, for any assets and equipment purchased with funds provided under this Agreement, to use the appropriate form and documentation provided by USADF to obtain exemption from any taxes, duties, levies, contributions or other similar charges that would be imposed by the Government of Niger and to report promptly to USADF in the event that any funds provided under this Agreement are used to pay such taxes.

Drug Free Workplace Certification

Introduction

The United States Government Drug-Free Workplace Act requires all recipients of funds from any agency of the Government to certify the following: (a) that the recipient will conduct activities funded by the grant in a workplace free of illegal use of drugs, such as marijuana, heroin, and cocaine; and (b) that certain measures, outlined below, will be taken to maintain a drug-free workplace. The United States African Development Foundation (USADF) is required to provide the certification below to all grantees abroad and in the United States. The certification must be signed by the grantee before receiving any USADF funds.

Instructions for Certification

1. By signing and returning this form to the United States African Development Foundation, the grantee is providing the certification set out below to the extent consistent with applicable laws and regulations of its country.
2. USADF relies on the certification in making the decision to enter into the grant agreement with the grantee. If USADF later determines that the grantee knowingly rendered a false certification or otherwise violated the requirement of the Drug-Free Workplace Act, USADF, in addition to any other remedies available to the Federal Government, may terminate the grant agreement.

Certification Regarding Drug-Free Workplace Requirements

1. The grantee certifies that it will provide a drug-free workplace by:
 - Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of illegal drugs is prohibited in the grantee's workplace and specifying the actions the grantee will be taken against employees for violation of such prohibition;
 - Establishing a drug-free awareness program to inform employees about –
 1. the dangers of drug abuse in the workplace;
 2. the grantee's policy of maintaining a drug-free workplace;
 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 4. the penalties may be imposed upon employees for drug abuse violations.
 - Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- Notifying the employee in the statement required by paragraph (a) that as a condition of employment, the employee will—
 1. abide by the terms of the statement; and
 2. notify the employer of any criminal drug statue conviction for the violation occurring in the workplace no later than five days after such conviction;
 - Notifying USADF within ten (10) days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
 - Taking one of the following actions, within thirty (30) days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 1. taking appropriate personnel action against such an employee, up to and including termination; or
 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purpose by local or national health, law enforcement, or other appropriate agency;
 - Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
2. The site(s) for the performance of work done in connection with the specific grant.

(ENTER THE NAMES OF THE VILLAGE, REGION, AND COUNTRY, OR THE TOWN AND COUNTRY WHERE THE PROJECT WILL BE CARRIED OUT.)

Name of Authorized Representative, Title

Date

Name of Authorized Representative, Title

Date

Annex 12: Grant Agreement Template for Grants over \$50,000

Cover Letter

DATE

ADDRESS [including name, title, physical address]

Dear [ENTER THE NAME OF THE GRANTEE OR THE GRANTEE'S REPRESENTATIVE(S)]:

Pursuant to the authority contained in the African Development Foundation Act, the United States African Development Foundation (“USADF” or “Foundation”) hereby awards to **GRANTEE'S NAME** (“Grantee”), a sum of **GRANT AMOUNT IN LOCAL CURRENCY**, but not to exceed the equivalent of US\$ 250,000, for the sole purpose of supporting the Project described in Appendix A to Attachment 1 to this award letter. This award letter together with the attachments listed below comprise the entire “Agreement” between USADF and the Grantee with respect to the award. This Agreement is identified in USADF’s records as [ENTER GRANT AGREEMENT NUMBER].

This award is effective and obligation is made as of the date of this award letter and shall apply to commitments made by the Grantee in furtherance of the grant's objectives during the period beginning with the effective date and ending **[ENTER THE GRANT EXPIRATION DATE]**.

This award is made on the condition that the Grantee will administer the funds in accordance with the terms of the Agreement. Such conditions include requirements related to Grantee contributions.

Please sign this Agreement to acknowledge your receipt of this Agreement and your acceptance of all terms and conditions related thereto. In addition, you must sign and complete the enclosed Drug-Free Workplace Certificate. Return an original of both documents to USADF.

The Foundation wishes you much success in this endeavor.

Sincerely yours,

C.D. Glin
President and Chief Executive Officer

Attachments:

1. Terms and Conditions
Appendix A to Terms and Conditions: Project Description

- Appendix A-1 to Terms and Conditions: Budget
- Appendix A-2 to Terms and Conditions: Standard Provisions
- Appendix B to Terms and Conditions: Quarterly Report Template
- 2. Drug-Free Workplace Certification
- 3. [ESMP] (if required)

ACKNOWLEDGED:

[NAME OF GRANTEE]

By: _____
NAME OF GRANTEE'S REPRESENTATIVE
TITLE

By: _____
NAME OF GRANTEE'S REPRESENTATIVE
TITLE

Date: _____

Terms and Conditions

**CRA GRANTS FACILITY
GRANT AGREEMENT TERMS AND CONDITIONS
AGREEMENT NO. (INSERT NO.)**

between the

**United States AFRICAN DEVELOPMENT FOUNDATION
AN AGENCY OF THE GOVERNMENT OF THE UNITED STATES OF
AMERICA
(hereinafter “USADF” or “Foundation”)**

and

**GRANTEE’S NAME
(hereinafter “Grantee” or “ENTER NAME OF GRANTEE”)**

Article 1: Definitions

Capitalized terms contained and used in this Agreement shall have the respective meanings ascribed to them in this Article 1 and elsewhere in this Agreement.

"Grant" means the transfer of funds to the Grantee from USADF for the purpose as stated in Article 2 herein.

“Material Breach” means a substantive violation of any terms, conditions, or provisions of this Agreement that has the effect of defeating in whole or in part the purpose of the Agreement.

Article 2: Purpose of Agreement

The purpose of this Grant Agreement (hereinafter “Agreement”) is to provide support for the project described in Appendix A to this Agreement entitled “Project Description”. This Project is funded under the Climate Resilient Agriculture (CRA) Grants Facility in Niger, pursuant to an Inter-Agency Agreement (IAA) between USADF and the Millennium Challenge Corporation (MCC). The CRA Grants Facility is part of a broader Compact between MCC and the Government of Niger focused on the agricultural sector in Niger.

Article 3: Term of Agreement

Section 3.1 Duration. This Agreement is for the period commencing [Effective Date] and ending [End Date].

Section 3.2 Disbursement Period. USADF will disburse funds to cover the costs of activities and items listed in the budget in Appendix A-1, provided that the Grantee

properly incurs these costs during the period of this Agreement or properly commits in writing during the period of this Agreement to pay such costs.

Article 4: Grant Agreement Funds and Grantee Contribution Requirement

Section 4.1 Amount and Use of Funds. USADF hereby agrees to transfer to the Grantee **INSERT Franc CFA AMOUNT IN LETTERS** (FCF Amount in figures), but not to exceed the equivalent of Two Hundred Fifty Thousand United States Dollars (\$250,000) for the purpose of this Agreement. The Grantee agrees to use these funds only for the project activities referred to in Article 2 above and in accordance with the budget attached as Appendix A-1.

Section 4.2 Payment of Funds. USADF shall make advance payments to the Grantee in accordance with procedures set forth in provision 3 of the attached Appendix A-2 entitled “Standard Provisions”. In the event of an overpayment of funds, the Grantee shall notify USADF promptly. The Grantee shall not withdraw from its bank account or otherwise use any overpaid funds.

Section 4.3 Grantee Contribution. The Grantee shall make a contribution to this Project as described in Appendix A, Project Description; the value of the Grantee’s contribution is detailed in Appendix A-1, Budget.

Article 5: Bank Account

In order to facilitate disbursements, financial reporting, and auditing, the Grantee shall maintain funds received under this Agreement in a separate non-interest bearing bank account, except in those countries where banks are required by law to pay interest to all account holders. In those countries, the Grantee shall account for interest earned in its financial reports, which will be offset by USADF against the total amount of its contribution under this Agreement. In both cases, USADF written concurrence in the bank selected shall be required before the first disbursement of funds under this Agreement. Bank fees that would be incurred after the Agreement is signed may be included in the project budget.

Article 6: Reports

Section 6.1 Quarterly Reports. The Foundation divides its fiscal year into quarterly reporting periods, beginning on October 1. These quarters run from October 1 to December 31, January 1 to March 31, April 1 to June 30, and July 1 to September 30.

6.1.1 Timing. At the end of each quarter, beginning with the first quarter after the effective date of this Agreement, the Grantee shall prepare a quarterly report. The Grantee must submit the report quarterly, until it expends or returns to the Foundation all funds it receives under this Agreement or the Agreement ends, whichever comes later.

6.1.2 Report Contents. The required format for the Quarterly Report is set out in Appendix B to this Agreement.

6.1.3 Transmittal of Quarterly Reports. Not later than thirty (30) days following the end of the reporting period the Grantee must transmit all reports required under this Article, along with supporting documents, to the USADF Representative, by email, in person, or a delivery method acceptable to the USADF Representative. *Late, incomplete or inaccurate submission of these reports may cause delay or suspension of disbursements and an immediate audit of the Grant Agreement. Failure to submit the reports may result in termination of the Agreement.*

Section 6.2 Post-Grant Monitoring

6.2.1 Annual Updates. Not later than thirty (30) days after the first, second, and third anniversaries of the Agreement's expiration date, the Grantee shall submit to USADF the following: (a) annual business financial statements following the formats contained in Appendix C, Part 6 to this Agreement; and (b) a current inventory of USADF financed assets with a purchase value equivalent to One Thousand United States Dollars (US\$1,000) or more, specifying for each asset the original purchase value, current market value, current condition of the asset (functioning or non-functioning), whether the item has been sold or transferred, and if sold or transferred state why, purchaser's name and business, selling price, and the date of the transfer. The Grantee shall transmit or deliver the annual updates to USADF in the same manner as the quarterly reports in Section 6.1.3 of this Agreement.

6.2.2 Grant Impact Monitoring. For a period not to exceed three (3) years after the expiration of this Agreement, the Grantee shall, upon request by USADF, provide USADF performance information on the Project financed by this Agreement.

Article 7: Audits

USADF, MCC, other United States Government Agenc(ies), MCA-Niger, or an audit firm that any such entity hires, may perform an audit of activities implemented under this Agreement. In the event of such an audit, the Grantee shall make available to the auditor all of its financial records relating to this Agreement and fully cooperate with the audit firm's requests for information to ensure that the audit is completed as scheduled. Normally, any such audit will take place during the period of the Agreement, but USADF reserves the right for any such entity to audit Project activities up to five (5) years after the expiration date of this Agreement. Therefore, the Grantee shall retain all records pertaining to the receipt or expenditure of Project-related funds for at least five (5) years following the expiration date of the Agreement.

Article 8: Budget

Section 8.1 Allocable Costs. Appendix A-1 contains the approved budget for this Agreement. The Grantee may expend funds under this Agreement only for activities and items listed under Categories marked by capital letters in the budget or line items marked by numbers.

Section 8.2 Deviations from the Budget. Expenditures in any Category may exceed the amount budgeted for that Category by up to three (3) percent, *provided that* some other Category is reduced by the same amount and *provided that* the Foundation receives prior written notification of the necessity of the change.

Expenditures for a line item may exceed the amount budgeted by up to fifteen (15) percent, *provided that* some line item in the same Category is reduced by the same amount as the increase.

The Grantee must obtain prior written approval from the Foundation for expenditures covering anything not included in the Agreement budget, for expenditures that exceed any Category by more than three (3) percent, or for expenditures that exceed any line item by more than fifteen (15) percent. The Grantee may not shift funds from any training category or line item, regardless of amount, without USADF's prior written approval.

Article 9: Property

Section 9.1 Ownership and Use Restriction. Title to all property (including furniture, equipment, and vehicles) provided in-kind by USADF or purchased with funds provided under this Agreement shall vest in the Grantee upon expiration of this Agreement, subject to a use restriction, unless stated otherwise herein. The use restriction requires that all property provided or financed by USADF must be used as long as needed for this Project, **even after USADF's funding has ended**. The Grantee, or its successor, must notify USADF of any plans to transfer the property or use it for other than the Project's original purpose. **Should the Foundation find it necessary to terminate this Agreement prior to its expiration date or should the Foundation determine that, during the Agreement period, the Grantee or its successor is using any property funded or provided under this Grant for purposes other than those set forth in the Project description or agreed to by the Foundation, or should the Foundation determine that the Grantee is on the verge of becoming insolvent, the Foundation shall have the right to require the Grantee or its successor to transfer custody and ownership of such property to the Foundation or to such other entity as it may direct.** Should this event occur, the Grantee or its successor shall take all legal measures necessary to transfer clear title to such property to the Foundation or such other entity as it directs and, if required by the Foundation, to bear any associated costs.

9.1.1 Major Items. Any item of property with a fair market value equivalent to Five Thousand United States Dollars (US\$ 5,000) or more is considered a major item for the purposes of this Agreement. The Grantee or its successor may clear its property title of the use restriction by paying off USADF's share of investment in the property.

9.1.2 Minor Items. Any item of property with an equivalent fair market value of Four Thousand Nine Hundred Ninety-Nine United States Dollars (US\$ 4,999) or less is considered a minor item for the purposes of this Agreement. Once the Project ends, the Grantee is free from use restrictions and from repayment of obligations related to USADF financed property.

Section 9.2 Securities. The Grantee shall not pledge property funded or provided by USADF as loan collateral or security during the life of the Project. The Grantee shall notify the public, including its creditors that the United States Government retains a priority reversionary interest in all property financed under this Agreement and that under the terms of this Agreement creditors may not attach such property to satisfy the Grantee's debts.

Article 10: Publicity

The Grantee authorizes the Foundation, and through the Foundation, MCC and MCA-Niger to make and distribute written materials, films, videotapes, photographs, sound recordings, and other audiovisual materials of the Project funded under this Agreement. Such materials produced pursuant to this authorization shall not be used for purposes other than information dissemination, documentation of the Project, or in non-commercial publications. The Grantee must provide the Foundation, MCC, or MCA-Niger, as applicable, written permission to use such material for any other purpose.

Article 11: Special Covenants

Section 11.1 Relationship to the USADF Partner. USADF and ONG-ADLI, a duly registered non-profit organization in Niger, have entered into a partnership for the promotion of community-level development. Under this partnership, ONG-ADLI has agreed to provide technical assistance and advice to USADF grantees in Niger. The Grantee hereby agrees to work cooperatively and in good faith with ONG-ADLI, or the successor USADF Partner in Niger, during the implementation of the Project funded by this Agreement.

Section 11.2 Environment and Safety. The Grantee agrees to: [Covenant will be specific to project; will state generally environmental and safety procedures Grantee will follow. For projects categorized as B2, an ESMP will be included as an attachment to the Grant Agreement.] [To be modified as determined in the Final ESR]

Article 12: Conditions Precedent

Section 12.1 First Disbursement. Prior to the first disbursement of funds under this Agreement, or to the issuance by USADF of documentation pursuant to which such disbursement will be made, the Grantee shall, except as the Parties may otherwise agree in writing, furnish to USADF, in form and substance satisfactory to USADF [INSERT THE CONDITION].

Or

Section 12.2 Terminal Dates for Conditions Precedent. If all conditions specified in Section 12.1(a) have not been met within xxx days from the date of this Agreement, or such later date as USADF may agree to in writing, or if all of the conditions specified in Section 12.1(b) have not been met within xxx days from the date of this Agreement, or such later date as USADF may agree to in writing, USADF, at its option, may terminate this Agreement by written notice to the Grantee.

Article 13: Monitoring and Assessment

Section 13.1 Monitoring. During the period of this Agreement, the Foundation will monitor and assess Project activities and finances. In the initial stages of project implementation, the USADF Partner Organization will work with the Grantee to develop a plan for the monitoring.

Section 13.2 Assessment. So that others may learn from Agreement activities, the Foundation may conduct an impact assessment of the Project. The Grantee agrees to collaborate in the conduct of any such assessment by sharing financial and other Project related information with the parties performing the assessment. The USADF Representative will contact the Grantee to advise of any such assessment and make necessary arrangements.

Article 14: Miscellaneous

Section 14.1 Investigative Requirements. If requested by USADF or other United States Government agency, the Grantee and any of its principals, employees, or agents shall complete a properly executed name check form and fingerprint card (Federal Bureau of Investigation Card FD-258).

Section 14.2 Independent Organization. As an independent organization, the Grantee will be responsible for meeting its obligations arising from this Agreement including, by way of illustration but not limitation, the payment of local taxes, social security tax, severance or unemployment taxes, and any other taxes, business license fees, or obligations required. Neither the Grantee nor USADF shall represent the other, its Board

of Directors, officers, or any member of the other in any transaction or communication, nor make claim to do so.

Section 14.3 Appendices. The attached Appendices form part of this Agreement.

Section 14.4 Legal Identity. The Grantee will inform the Foundation promptly of any changes in its ownership, name, or legal status. Failure to inform the Foundation of such change may result in termination of this Agreement.

Section 14.5 Governing law. The law of the District of Columbia, United States of America, governs this Agreement.

Section 14.6 Compliance with Local Law. The Grantee shall ensure that all activities performed under this Agreement comply with local laws and regulations.

Section 14.7 Language of the Agreement. This Agreement has been drawn up in English and French; the English is the official version and shall govern the relationship between the Grantee and USADF in the event of ambiguity or dispute.

Section 14.8 Dishonest Act. The Grantee commits a dishonest act if it makes a false statement to USADF regarding a material fact, misrepresents information, commits fraud, commits theft or any other act USADF determines to be a dishonest act. The commission of a dishonest act by the Grantee may automatically terminate this Agreement. In case of such termination, USADF will require the Grantee to return to USADF all financial and physical property provided under this Agreement. If USADF determines that this Agreement is based on erroneous, false or misleading information submitted by the Grantee, USADF may require the Grantee to return the total value of the Grant in cash. In addition, the USADF will terminate the Agreement and the Grantee may be subject to criminal penalties.

Section 14.9 Tax Exemption. The Grantee agrees, for any assets and equipment purchased with funds provided under this Agreement, to use the appropriate form and documentation provided by USADF to obtain exemption from any taxes, duties, levies, contributions or other similar charges that would be imposed by the Government of Niger and to report promptly to USADF in the event that any funds provided under this Agreement are used to pay such taxes.

ATTACHMENTS:

Appendix A:	Project Description
Appendix A-1:	Budget
Appendix A-2:	Standard Provisions

Appendix A: Project Description

[PROJECT NAME]

[COUNTRY]

I. INTRODUCTION

This appendix describes the activities to be undertaken and the results to be achieved with the funds obligated under this Agreement. Nothing in this Appendix A shall be construed as amending any of the definitions, conditions, or terms of the Agreement.

II. BACKGROUND

[Describe the problem(s) or opportunity (ies) being addressed at the macro, sectoral, sub sectoral, community, or applicant levels, as appropriate.]

III. FUNDING

a. USADF Contribution

The financial plan for USADF's contribution is set forth in Appendix A-1 to this Agreement. The Parties may make changes to the financial plan without formal amendment, if such changes are made in accordance with Article 8 of the Agreement and do not cause USADF's contribution to exceed the obligated amount specified in Article 4, Section 4.1 of the Agreement.

b. [Insert the Grantee's name] Contribution

[Describe in detail the Grantee's required contribution to the Project: type of contribution, amount and timing.]

c. Other Contributions

IV. PROJECT GOAL

The goal of the Project is _____.

V. PROJECT PURPOSE

The purpose of the Project is _____. [State performance indicators, e.g., annual income].

VI. Outputs

[State the major outputs and indicators].

VII. ACTIVITIES

[State the specific activities to be implemented under the Project].

VIII. ROLES AND RESPONSIBILITIES

[Insert Grantee's name] is responsible for ensuring the proper management and implementation of the Project. Pursuant to the Cooperative Agreement with USADF's Partner in [enter country], [enter name of Partner] will provide [insert Grantee's name] the required USADF training in bookkeeping, monitoring and assessment, and technical and management assistance during Project implementation.

IX. MONITORING AND EVALUATION

Within sixty days of the effective date of this Agreement, [insert Grantee's name], working with the USADF Partner, will form a monitoring and assessment committee composed of a representative cross-section of the [insert Grantee's name] organization. The committee will work with the Partner to develop the Project monitoring plan. In addition, during implementation, the committee will have responsibility for ensuring that the Project follows the implementation plan, and that problems identified through monitoring and evaluation are properly addressed in a timely manner.

[Include any special provisions on monitoring and evaluation.]

X. OTHER IMPLEMENTATION ISSUES

[For example, there can be special provisions on the methodology and timing of audits].

Appendix A-1: Budget

	Name of Project		
	Budget	USADF Costs	Applicant Costs
Category	Description	in Local Currency	in Local Currency
A	INFRASTRUCTURE		
A.1			
A.2			
	Sub-Total		
B	EQUIPMENT PURCHASES		
B.1			
B.2			
	Sub-Total		
C	WORKING CAPITAL / INPUTS		
C.1	used for:		
C.2	used for:		
	Sub-Total		
D	TRAINING		
D.1			

D.2			
	Sub-Total		
E	TECHNICAL ASSISTANCE		
E.1			
E.2			
	Sub-Total		
F	ADMINISTRATIVE SUPPORT		
F.1			
F.2			
	Sub-Total		
	Grand Total		

Appendix A-2: Standard Provisions

APPENDIX A-2: STANDARD PROVISIONS FOR PROJECT GRANTS

TABLE OF CONTENTS

1. Accounting, Audit, Financial and Records
2. Disbursements
3. Payment Advances and Refunds
4. Revision of the Award Budget
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1. ACCOUNTING, AUDIT, AND FINANCIAL RECORDS

- (a) The Grantee or recipient shall maintain financial records, supporting documents, statistical records and all other records pertinent to the award in accordance with generally accepted accounting principles formally prescribed by the United States, the cooperating country, or the International Accounting Standards Committee (an affiliate of the International Federation of Accountants) to sufficiently substantiate charges to this award. Accounting records that are supported by documentation will, at a minimum, be adequate to show all costs incurred under the award, receipt, and use of goods and services, and the overall progress of the program. Unless otherwise notified, the recipient records and sub-recipient records pertaining to this award shall be retained for a period of five years from the date of submission of the final expenditure report and may be audited by USADF or its representative before or during this five-year period.
- (b) An audit of USADF funds provided under this Agreement may be required and shall be performed in accordance with the Generally Accepted Government Auditing Standards (GAGAS) of the United States Government.
- (c) No audit costs may be charged to this award if audits have not been performed in accordance with the terms of this provision. If the Grantee fails to cooperate in an audit performed in accordance with the terms of this provision, USADF will consider appropriate sanctions that may include suspension of all or a percentage of disbursements until the audit is satisfactorily completed.
- (d) USADF shall retain the right to conduct financial review, require an audit, or otherwise ensure adequate accountability of organizations expending USADF funds regardless of the audit requirement.
- (e) The Grantee shall permit authorized representatives of USADF, MCC, an authorized Inspector General of MCC and USADF, the United States Government Accountability Office, any auditor responsible for an audit contemplated by the Compact or conducted in furtherance of the Compact, and any agents or representatives engaged by MCC, the Government of Niger or the United States Government to conduct any assessment, review or evaluation of the Project, the opportunity to audit, review, evaluate or inspect activities funded by this Grant.

2. DISBURSEMENTS

The Foundation, at its option, may make disbursements in United States dollars, local currency, or such other currency, as USADF deems useful to facilitate the purpose of this Agreement. If made in a currency other than the currency in which the Agreement is denominated, the disbursement will be at the prevailing rate of exchange on the day of the disbursement, as determined by USADF based on standard sources of prevailing exchange rates. USADF will make disbursements on a quarterly basis in amounts necessary to meet the Grantee's anticipated cash requirements for the ensuing three-month period after USADF receives:

- (a) **For the first disbursement --**

- (1) a signed original Acknowledgement of this Agreement;
- (2) a completed and signed Grant Disbursement Request (Appendix B of this Agreement) containing the bank name, branch postal address, the account number of the bank account established for receipt of funds under this Agreement, and the name of a bank employee who can be contacted about the Grantee's account;
- (3) Grantee's request for the disbursement installment specifying the amount requested by budget line item; and
- (4) such other information that USADF may request to the accuracy of the disbursement request, e.g., pro forma invoices, copies of construction bids, explanations of amounts of loan capital or working capital requested.

(b) For subsequent disbursements --

- (1) the Grantee's request for the disbursement installment (substantially in the form of Appendix B of the Agreement);
- (2) as due under the terms and conditions of the Agreement, regular financial and activity progress reports accounting for funds spent during the previous quarter; and
- (3) such other information that USADF may require related to the accuracy of the disbursement request, e.g., pro forma invoices, copies of construction bids, explanations of amounts of loan capital or working capital requested.

3. PAYMENT ADVANCES AND REFUNDS

- (a) USADF will make advance payments to the Grantee as provided in paragraph 2 above. The Grantee shall not commingle USADF funds with other Grantee owned or controlled funds. The Grantee will deposit USADF payments in a separate bank account in accordance with the Terms and Conditions of this Grant Agreement, and shall make all disbursements for goods and services from this account.
- (b) The following categories of funds will immediately revert to USADF at the time the award expires or is terminated:
 - (1) funds that USADF has obligated, but has not disbursed to the Grantee; and
 - (2) funds that USADF has advanced to the Grantee, but the Grantee has not expended or legally obligated for an *authorized* award purpose.
- (c) USADF shall require the Grantee to refund any amount that the Grantee did not spend in accordance with the terms and conditions of this award. In the event that a final audit has not been performed before the closeout of this award, USADF retains the right to a refund until all claims which may result from the final audit have been resolved between USADF and the Grantee.

4. REVISION OF THE AWARD BUDGET

- (a) The approved award budget is the financial expression of the Grantee's program as approved during the award process.
- (b) The Grantee is required to report deviations from budget and program plans, and request prior approvals from USADF for the following actions:
 - (1) to change the scope or the objectives of the project or revise the funding allocated among project objectives;
 - (2) to change a key person where specified in the award, or allow a 25 percent reduction in the time a key person devoted to the project;
 - (3) where indirect costs have been authorized, the Grantee plans to transfer funds budgeted for indirect costs to absorb increases in direct costs or vice versa;
 - (4) to incur extraordinary costs;
 - (5) to transfer funds allotted for training to other categories of expense; or
 - (6) to contract or sub-award any of the activities under this award, and such contracts or sub-awards were not included in the approved award budget.

If stipulated in the Terms and Conditions of this Agreement, the Grantee may be further restricted from transferring funds among cost categories.

- (c) USADF is under no obligation to reimburse the Grantee for costs incurred in excess of the total amount obligated under the award. If the total obligated amount under the award has been increased, USADF will notify the Grantee in writing of the increase and specify the new total obligated award amount.

5. AMENDMENT TO THE AGREEMENT

This Agreement may be changed by mutual consent of both Parties in writing.

6. TERMINATION AND SUSPENSION

- (a) USADF may terminate this award at any time, in whole or in part, upon written notice to the Grantee, whenever it is determined that the Grantee has materially failed to comply with the terms and conditions of the award.
- (b) This award may be terminated at any time, in whole or in part, by USADF with the consent of the Grantee. Both Parties shall agree upon termination conditions, including the effective date and, in the case of partial terminations, the portion of the award to be terminated. The agreement to terminate shall be set forth in a letter from USADF to the Grantee.
- (c) This award may be terminated at any time in whole or in part by the Grantee upon sending written notification to USADF with the following information: the reasons for the termination, the effective date, and, in the case of a partial termination, the portion to be terminated. However, if USADF determines in the case of partial

- termination that the reduced or modified portion of the award will not accomplish the purposes for which the award was made, USADF may terminate the award in its entirety in accordance with paragraphs (a) or (b) above.
- (d) If at any time USADF determines that continuation of all or part of the funding of a project should be suspended or terminated because such assistance would not be in the interest of the United States and the USADF Program or would be in violation of an applicable law, then USADF may, following notice to the Grantee, suspend or terminate this award in whole or in part and prohibit the Grantee from incurring additional obligations chargeable to this award other than those costs specified in the notice of suspension during the period suspension. If the situation causing the suspension continues for 60 days or more, then USADF may terminate this award on written notice to the Grantee and cancel that portion of this award which has not been disbursed or irrevocably committed to third parties.
 - (e) Termination and Suspension Procedures. Upon receipt of and in accordance with a termination notice as specified above, the Grantee shall take immediate action to minimize all expenditures and obligations financed by this award and shall cancel such un-liquidated obligations whenever possible. Except as provided below, the Grantee shall not incur costs after receipt of the termination notice.

The Grantee shall within thirty (30) calendar days after the effective date of such termination repay to the United States Government all unexpended USADF funds that are not otherwise obligated by a legally binding transaction applicable to this award. Should the funds paid by USADF to the Grantee prior to the effective date of the termination of this award be insufficient to cover the Grantee's obligations in the legally binding transaction, the Grantee may submit to USADF within ninety (90) calendar days after the effective date of such termination a written claim covering such obligations. USADF shall determine the amount(s) to be paid by the Foundation to the Grantee under such claim.

This provision must be included in all sub-agreements.

7. DISPUTES

- (a) Any dispute under this award shall be decided by a USADF Officer designated by the USADF President. USADF shall furnish the Grantee a written copy of the decision.
- (b) Decisions by USADF shall be final unless, within thirty (30) days of the receipt of the decision, the Grantee appeals the decision to the USADF President or a USADF Officer designated by the President. Any appeal made under this provision shall be in writing and addressed to the President, United States African Development Foundation, 1400 I Street, N.W., Washington, D.C. 20005.
- (c) In order to facilitate review of the record, the Grantee shall be given an opportunity to submit written evidence in support of its appeal.
- (d) A decision under this provision by appeal shall be final.

8. INTERNATIONAL AIR TRAVEL AND TRANSPORTATION

(a) PRIOR BUDGET APPROVAL

In accordance with OMB Cost Principles, direct charges for foreign travel costs are allowable only when each foreign trip has received prior budget approval. Such approval will be deemed to have been met when:

- (1) the trip is identified--identification is accomplished by providing the following information on the number of trips, the number of individuals per trip, and the destination country(ies);
- (2) the information noted at (a)(1) above is incorporated in the proposal, the project description or schedule of the award, the annual implementation plan (initial or revisions), or amendments to the award; and
- (3) the costs related to the travel are incorporated in the approved budget of the award.

The USADF President or designee may approve travel that has not been incorporated in writing as required by paragraph (a)(2). In such case, a copy of the approval must be included in the Agreement file.

(b) THE FLY AMERICA ACT

- (1) The Fly America Act (49 U.S.C. 40118) requires all air travel and shipments under this award to be made on United States flag carriers to the extent service by such carriers is available. United States air-carrier service is considered available even though a comparable or different kind of service can be provided at a lower cost by a foreign carrier or foreign air-carrier service is preferred by or more convenient for the traveler. If uncertainty exists in a specific case as to whether United States air-carrier service is or is not available under this rule, the Grantee is responsible for consulting with USADF regarding its proposed travel schedule to ensure compliance. In the event that the Grantee uses a non-United States flag carrier for international air travel or transportation, it will prepare a certification as follows:

- (2) Certification of Unavailability of United States Flag Air Carrier

The undersigned certifies that air carrier service by United States flag carrier was unavailable for the following reasons: (STATE REASONS)

If the certification is not provided or, if, on review, USADF determines that a United States flag carrier was available, the Grantee shall refund to USADF the cost of the travel or transportation.

9. DEBARMENT, SUSPENSION, AND DRUG-FREE WORK PLACE

- (a) The Grantee certifies to the best of its knowledge and belief, that it and its principals:
- (1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any U.S. Government department or agency of the U.S. Government;
 - (2) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (3) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (4) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (b) The Grantee agrees that, unless authorized by USADF, it will not knowingly enter into any sub-agreements or contracts under this Agreement with a person or entity that is included on the “Parties Excluded from Federal Procurement and Non-procurement Programs” database and World Bank debarred list. The Grantee further agrees to include the following provision in any sub-agreements or contracts entered into under this award:

DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION

The Contractor certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department of agency and the World Bank.

- (c) The Grantee must sign a “Certification Regarding Drug-Free Workplace Requirements” provided to it by USADF. The Certificate is a material representation of fact upon which reliance is placed when USADF makes the award. If it is later determined that the Grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, USADF, in addition to any other remedies available to the United States Government, may take action authorized under the Drug-Free Workplace Act.

- (d) The policies and procedures applicable to debarment, suspension, and ineligibility and the requirements of a drug-free work place under USADF-financed transactions are set forth in 22 CFR Part 1508.

10. ANTI-TERRORISM AND OTHER APPLICABLE U.S. LAWS

It is acknowledged that United States policy and law prohibit transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Grantee to ensure compliance USADF may terminate this Agreement in the event the Grantee fails to comply with these policies and all other applicable U.S. laws, regulations, executive orders, and policies regarding money laundering, terrorist financing, trafficking in persons, U.S. sanctions laws, restrictive trade practices, boycotts, and all other economic sanctions promulgated from time to time by means of statute, executive order, regulation or as administered by the Office of Foreign Assets Control of the United States Treasury Department or any successor governmental authority, including, 18 U.S.C. § 1956, 18 U.S.C. § 1957, 18 U.S.C. § 2339A, 18 U.S.C. § 2339B, 18 U.S.C. § 2339C, 18 U.S.C. § 981, 18 U.S.C. § 982, Executive Order 13224, 15 C.F.R. Part 760, and those economic sanctions programs enumerated at 31 C.F.R. Parts 500 through 598.

11. NONLIABILITY

USADF does not assume liability for any third party claims for damages arising out of this award.

12. TITLE TO AND CARE OF PROPERTY (UNITED STATES GOVERNMENT TITLE)

- (a) Property, title to which vests in the United States Government under this award, whether furnished by USADF or acquired by the Grantee, is subject to this provision and is hereinafter collectively referred to as "Government property." Title to U.S. Government property shall not be affected by the incorporation or attachment thereof to any property not owned by the U.S. Government, nor shall such U.S. Government property, or any part thereof, be or become a fixture or lose its identity as personal property by reason of affixation to any real property.
- (b) Use of U.S. Government Property: U.S. Government property shall, unless otherwise provided herein or approved by USADF, be used only for the performance of this award.
- (c) Control, Maintenance and Repair of U.S. Government Property:
 - (1) The Grantee shall maintain and administer in accordance with sound business practice a program for the maintenance, repair, protection, and preservation of

U.S. Government property so as to assure its full availability and usefulness for the performance of this award. The Grantee shall take all reasonable steps to comply with all appropriate directions or instructions that USADF may prescribe as reasonably necessary for the protection of the U.S. Government property.

- (2) The Grantee shall submit, for review by USADF, a records system for property control and a program for orderly maintenance of U.S. Government property;
- (3) Property Control: The property control system shall include but not be limited to the following:
 - (i) identification of each item of U.S. Government property acquired or furnished under the award by a serially controlled identification number and by description of item.;
 - (ii) the price of each item of property acquired or furnished under this award;
 - (iii) the location of each item of property acquired or furnished under this award;
 - (iv) a record of any usable component that is permanently removed from items of U.S. Government property as a result of modification or otherwise; and
 - (v) a record of disposition of each item acquired or furnished under the award.

The official property control records shall be kept in such condition that at any stage of completion of the work under this award, the status of property acquired or furnished under this award may be readily ascertained. A report of status of all items of property acquired or furnished under the award shall be submitted yearly concurrently with the annual report.

- (4) Maintenance Program: The Grantee's maintenance program shall be consistent with sound business practice, the terms of the award, and provide for:
 - (i) disclosure of need for and the performance of preventive maintenance,
 - (ii) disclosure and reporting of need for capital type rehabilitation, and
 - (iii) recording of work accomplished under the program.
 - (A) Preventative Maintenance - preventive maintenance is maintenance generally performed on a regularly scheduled basis to prevent the occurrence of defects and to detect and correct minor defects before they result in serious consequences.
 - (B) Records of Maintenance - the Grantee's maintenance program shall provide for records sufficient to disclose the maintenance actions performed and deficiencies discovered as a result of inspections.
 - (C) A report of status of maintenance of U.S. Government property shall be submitted annually with the annual report.

(d) Risk of Loss:

- (1) The Grantee shall not be liable for any loss of or damage to the U.S. Government property, or for expenses incidental to such loss or damage except that the Grantee shall be responsible for any such loss or damage (including expenses incidental thereto) –
- (i) which results from willful misconduct or lack of good faith on the part of any of the Grantee's directors or officers, or on the part of any of its managers, superintendents, or other equivalent representatives, who have supervision or direction of all or substantially all of the Grantee's business, or all or substantially all of the Grantee's operation at any one plant, laboratory, or separate location in which this award is being performed;
 - (ii) which results from a failure on the part of the Grantee, due to the willful misconduct or lack of good faith on the part of any of its directors, officers, or other representatives mentioned in (i) above:
 - (A) to maintain and administer, in accordance with sound business practice, the program for maintenance, repair, protection, and preservation of Government property as required by (i) above, or
 - (B) to take all reasonable steps to comply with any appropriate written directions of USADF under (c) above;
 - (iii) for which the Grantee is otherwise responsible under the express terms designated in the schedule of this award;
 - (iv) which results from a risk expressly required to be insured under some other provision of this award, but only to the extent of the insurance so required to be procured and maintained, or to the extent of insurance actually procured and maintained, whichever is greater;
 - (v) which results from a risk which is in fact covered by insurance or for which the Grantee is otherwise reimbursed, but only to the extent of such insurance or reimbursement; or provided that, if more than one of the above exceptions shall be applicable in any case, the Grantee's liability under any one exception shall not be limited by any other exception.
- (2) The Grantee shall not be reimbursed for, and shall not include as an item of overhead, the cost of insurance, or any provision for a reserve, covering the risk of loss of or damage to the U.S. Government property, except to the extent that the U.S. Government may have required the Grantee to carry such insurance under any other provision of this award.
- (3) Upon the happening of loss or destruction of or damage to the U.S. Government property, the Grantee shall notify USADF thereof, shall take all reasonable steps to protect the Government property from further damage, separate the damaged and undamaged Government property, put all the Government property in the best possible order, and furnish to USADF a statement of:

- (i) the lost, destroyed, or damaged Government property;
 - (ii) the time and origin of the loss, destruction, or damage;
 - (iii) all known interests in commingled property of which the Government property is a part; and
 - (iv) the insurance, if any, covering any part of or interest in such commingled property.
- (4) The Grantee shall make repairs and renovations of the damaged Government property or take such other action as USADF directs.
- (5) In the event the Grantee is indemnified, reimbursed, or otherwise compensated for any loss or destruction of or damage to the U.S. Government property, it shall use the proceeds to repair, renovate, or replace the U.S. Government property involved, or shall credit such proceeds against the cost of the work covered by the award, or shall otherwise reimburse the U.S. Government, as directed by USADF. The Grantee shall do nothing to prejudice the U.S. Government's right to recover against third parties for any such loss, destruction, or damage, and upon the request of USADF, shall, at the U.S. Government's expense, furnish to the U.S. Government all reasonable assistance and cooperation (including assistance in the prosecution of suits and the execution of instruments or assignments in favor of the U.S. Government) in obtaining recovery.
- (e) Access: The U.S. Government, and any persons designated by it, shall at all reasonable times have access to the premises wherein any U.S. Government property is located, for the purpose of inspecting the U.S. Government property.
- (f) Final Accounting and Disposition of U.S. Government Property: Upon completion of this award, or at such earlier dates as may be fixed by USADF, the Grantee shall submit, in a form acceptable to USADF, inventory schedules covering all items of Government property not consumed in the performance of this award or not theretofore delivered to the U.S. Government, and shall prepare, deliver, or make such other disposition of the U.S. Government property as may be directed or authorized by USADF.
- (g) Communications: All communications issued pursuant to this provision shall be in writing.

13. TITLE TO AND USE OF PROPERTY (GRANTEE TITLE; OVER US\$ 50,000)

(This provision is applicable only when title to property will ultimately vest in the recipient and over US\$ 50,000 in equipment is expected to be procured with USADF funds. Equipment is defined as any tangible personal property having a useful life of more than one year and an acquisition cost of US\$ 5,000 or more per unit.)

- (a) Upon expiration of the award, title to all property financed under this award shall vest in the Grantee.

(b) The Grantee agrees to use and maintain the property for the purpose of the award in accordance with the following procedures:

- 1) The Grantee shall not use equipment acquired with United States Government funds to provide services to non-United States Government outside organizations for a fee, unless USADF provides written authorization to do so. If so authorized, the fee will be treated as program income for the Grantee.
- 2) The Grantee shall use the equipment in the program for which it was acquired as long as needed, whether or not the program continues to be supported by United States Government funds and shall not encumber the property without approval of USADF. When no longer needed for the original program, the Grantee shall use the equipment in connection with its other Federally-sponsored activities, in the following order of priority:
 - i) activities sponsored by USADF, then
 - ii) activities sponsored by other United States Government agencies.
- 3) When acquiring replacement equipment, the Grantee may use the equipment to be replaced as trade-in or sell the equipment and use the proceeds to offset the costs of the replacement equipment subject to the written approval of USADF.
- 4) The Grantee's property management standards for equipment acquired with United States Government funds and federally-owned equipment shall include all of the following:
 - i) Equipment records shall be maintained accurately and shall include the following information:
 - A) a description of the equipment;
 - B) manufacturer's serial number, model number, United States Government stock number, national stock number, or other identification number;
 - C) source of the equipment, including the award number;
 - D) whether title vests in the Grantee, the United States Government or other specified entity;
 - E) acquisition date (or date received, if the equipment was furnished by the United States Government) and cost;
 - F) information from which one can calculate the percentage of United States Government participation in the cost of the equipment (not applicable to equipment furnished by the United States Government);
 - G) location and condition of the equipment and the date the information was reported;
 - H) unit acquisition cost; and

- I) ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a Grantee compensated USADF for its share.
 - ii) A physical inventory of equipment shall be taken and the results reconciled with the equipment records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the difference. The Grantee shall, in connection with the inventory, verify the existence, current utilization, and continued need for the equipment.
 - iii) A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft of the equipment. Any loss, damage, or theft shall be investigated and fully documented and the Grantee shall promptly notify USADF.
 - iv) Adequate maintenance procedures shall be implemented to keep the equipment in good condition.
 - v) Where the Grantee is authorized or required to sell the equipment, proper sales procedures shall be established which provide for competition to the extent practicable and result in the highest possible return.
- 6) When the Grantee no longer needs the equipment, the equipment may be used for other activities in accordance with the following standards:
- i) For equipment with a current per unit fair market value of US\$ 5,000 or more, the Grantee may retain the equipment for other uses and compensate USADF for its share, unless USADF agrees otherwise in writing.
 - ii) If the Grantee has no need for USADF-financed equipment, the Grantee shall request disposition instructions from USADF.
 - A) If so instructed or if disposition instructions are not issued within one hundred and twenty (120) calendar days after the Grantee's request, the Grantee shall sell the equipment and reimburse USADF its share. The Grantee shall be permitted to deduct and retain from the USADF share US\$ 500 or ten percent of the proceeds, whichever is less, for the Grantee's selling and handling expenses.
 - B) If the Grantee is instructed to ship or otherwise dispose of the equipment, the Grantee will be reimbursed by USADF for reasonable expenses incurred in disposition.
- (c) USADF reserves the right to transfer the title to USADF or a third party. The equipment shall be appropriately identified in the award or otherwise made known to the Grantee in writing by USADF. When USADF exercises its right to take title, the equipment shall be subject to the Standard Provision entitled "Title to and Care of Property" (United States Government Title).

- (d) Within ninety (90) calendar days after the date of completion of the award the recipient shall submit an inventory of all property with the final performance report. The final inventory shall list all equipment acquired with award funds or received from USADF.
- (e) Title to supplies and other expendable equipment shall vest in the Grantee upon acquisition. If there is a residual inventory of new/unused supplies exceeding US\$ 5,000 in total aggregate value upon termination or completion of the project or program and the supplies are not needed for any other United States Government-sponsored project or program, the Grantee may retain the supplies but must compensate USADF for its share. The Grantee shall not use supplies acquired with USADF funds to provide services to outside organizations for a fee while the United States Government retains an interest in the supplies, unless authorized otherwise in writing by USADF.
- (f) Grantees shall, at a minimum, provide the equivalent insurance coverage for real property and equipment acquired with Federal funds as provided to property owned by the Grantee.

14. TITLE TO AND USE OF PROPERTY (GRANTEE TITLE; US\$ 50,000 AND UNDER)

(This provision is applicable only when title to property will ultimately vest in the Grantee and under US\$ 50,000 in equipment is expected to be procured with USADF funds. Equipment is defined as any tangible personal property having a useful life of more than one year and an acquisition cost of US\$ 5,000 or more per unit.)

- (a) Title to all property financed under this award shall vest in the Grantee at the end of the award.
- (b) The Grantee agrees to use and maintain the property for the purpose of the award and in accordance with the procedures established in this provision.
- (c) With respect to property having an acquired value of US\$ 5,000 or more, the Grantee agrees to report such items to USADF as they are acquired and to maintain a control system which will permit their ready identification and location.
- (d) Within ninety (90) calendar days after the end of the award, the Grantee will provide a list to USADF of each item that has current fair market value of US\$ 5,000 or more with a detailed proposal of what the Grantee intends to do with that property. If USADF does not respond within one hundred and twenty (120) calendar days, the Grantee may proceed with the disposition of the property. However, if the Grantee uses the property for purposes other than those of the award or sells or leases the property, USADF shall be reimbursed of its share of the property unless the USADF President or his/her designee authorizes USADF's share of the income from selling or leasing the property to be used as program income. This share is based upon the percentage of USADF's contribution to the Grantee's program. If USADF paid 100 percent of the Grantee's costs, then USADF would receive 100 percent of the selling cost less a nominal selling fee of US\$ 500 or 10 percent, whichever is less.

15. PUBLICATIONS AND MEDIA RELEASES

USADF, MCC and MCA-Niger shall be prominently acknowledged in all publications, videos, or other information or media products funded or partially funded through this award. The product shall state that the views expressed by the author(s) do not necessarily reflect those of USADF, MCC and MCA-Niger. Acknowledgments should identify USADF substantially as follows:

"This [publication, video or other information or media product (specify)] was made possible through support provided by the United States African Development Foundation, an agency of the United States Government, under the terms of Grant Agreement No. XXXX-XXX. The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the United States African Development Foundation, MCC or MCA-Niger".

16. PROGRAM INCOME

(This provision shall be applicable when program income is earned under the award.)

- (a) The Grantee shall apply the standards set forth in this provision to account for program income earned under the award.
- (b) Program income earned during the project period shall be retained by the Grantee and, in accordance with USADF policy, other implementing guidance, or the terms and conditions of the award, shall be used in one or more of the following ways:
 - (1) added to funds committed by USADF and the Grantee to the project or program, and used to further eligible project or program objectives;
 - (2) finance the non-United States Government share of the project or program; or
 - (3) deducted from the total project or program allowable cost in determining the net allowable costs on which the United States Government share of costs is based.
- (c) When the agreement authorizes the disposition of program income as described in paragraph (b)(1) or (b)(2) of this section, program income in excess of any limits stipulated shall be used in accordance with paragraph (b)(3) of this section.
- (d) If the terms and conditions of the award do not specify how program income is to be used, paragraph (b)(2) of this section shall apply automatically; program income in excess of the cost share amount may be applied in accordance with paragraph (b)(1).
- (e) Unless the terms and conditions of the award provide otherwise, Grantees shall have no obligation to the United States Government regarding program income earned after the end of the project period.

- (f) Costs incident to the generation of program income may be deducted from gross income to determine program income, provided these costs have not been charged to the award and they comply with the applicable cost principles.
- (g) Unless the terms and conditions of the award provide otherwise, Grantees shall have no obligation to the United States Government with respect to program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under an award. However, Patent and Trademark Amendments (35 U.S.C. 18) apply to inventions made under an experimental, developmental, or research awards.

17. PROCUREMENT

(This provision is applicable when the procurement element of an award is over US\$ 10,000.)

(a) General Requirements:

- (1) The Grantee shall maintain a written code or standards of conduct that shall govern the performance of its employees engaged in the award and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by United States Government funds if a real conflict of interest or an appearance of a conflict of interest would be involved. Such conflict would arise when the employee, officer or agent, or any member of the employee's immediate family, the employee's partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the individual or organization selected for an award. The officers, employees, and agents of the Grantee shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to sub-agreements. However, Grantees may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the Grantee.
- (2) All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. The Grantee shall be alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, invitations for bids, or requests for proposals shall be excluded from competing for such procurements. Contracts shall be made to the offeror whose offer is responsive to the solicitation and is most advantageous to the Grantee, price, quality, and other factors considered. Solicitations shall clearly establish all requirements that the

bidder or offeror shall fulfill in order to be evaluated by the Grantee. Any and all offers may be rejected when it is in the Grantee's interest to do so.

- (3) All Grantees shall establish written procurement procedures that describe how Grantee will procurement goods and services. Grantees shall follow the procedures and document how all procurements are handled. These procedures shall provide, at a minimum, that –

- (i) Grantees avoid purchasing unnecessary items;
- (ii) Where appropriate, an analysis is made of lease and purchase alternatives to determine which would be the most economical and practical procurement; and
- (iii) Solicitations for goods and services should provide all the following:

- (A) a clear and accurate description of the technical requirements for the material, product or service to be procured. In competitive procurements, such a description shall not contain features which unduly restrict competition;
- (B) requirements which the bidder or offeror must fulfill and all other factors to be used in evaluating bids or proposals;
- (C) a description, whenever practicable, of technical requirements in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards;
- (D) the specific features of "brand name or equal" descriptions that bidders are required to meet when such items are included in the solicitation;
- (E) the acceptance, to the extent practicable and economically feasible, of products and services dimensioned in the metric system of measurement; and
- (F) preference, to the extent practicable and economically feasible, for products and services that conserve natural resources and protect the environment and are energy efficient.

- (iv) Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources. Contracts shall not be made with firms or individuals whose name appears on the System for Award Management (SAM)'s "Parties Excluded from Federal Procurement and Non-procurement Programs" database and the World Bank debarred list. USADF will provide the Grantee with instructions to access the SAM database upon request and will assist the Grantee in performing this search if needed.
- (v) Grantees shall, on request, make available for USADF, pre-award review and procurement documents, such as request for proposals or invitations for

bids, independent cost estimates, and so on, when any of the following conditions apply:

- (A) a Grantee's procurement procedures or operation fails to comply with the procurement standards in this part; or
- (B) the procurement is expected to exceed US\$ 10,000.

(vi) For every procurement action, the Grantee shall prepare a price or cost analysis and maintain a record of this analysis in the Grantee's procurement. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, and market prices, together with discounts. Cost analysis is the review and evaluation of each element of cost to determine whether it is reasonable (i.e., a cost generally recognized as ordinary and necessary and would be incurred by a prudent person in the conduct of normal business), allocable (i.e., a cost that is incurred specifically for the award), and allowable (i.e., a cost which conforms to any limitation in the award).

(vii) Procurement records and files for purchases in excess of the Grantee's own small purchase threshold shall include the following at a minimum:

- (A) basis for contractor selection;
- (B) justification for lack of competition when competitive bids or offers are not obtained; and
- (C) basis for award cost or price.

(viii) A system for contract administration shall be maintained to ensure contractor conformance with terms, conditions, and specifications of the contract and to ensure adequate and timely follow up of all purchases. Grantees shall evaluate contractor performance and document, as appropriate, whether contractors have met the terms, conditions, and specifications of the contract.

(b) The Grantee shall include, in addition to provisions to define a sound and complete contract, the following provisions in all contracts and subcontracts.

- (1) Contracts in excess of US\$ 10,000 shall contain contractual provisions or conditions that allow for administrative, contractual, or legal remedies in instances in which a contractor violates or breaches the contract terms, and provide for such remedial actions as may be appropriate.
- (2) All contracts in excess of US\$ 10,000 shall contain suitable provisions for termination by the Grantee, including the manner by which termination will be effected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract may be terminated for default as well as

conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

- (3) All negotiated contracts (except those for less than the Grantee's small purchase threshold) awarded by the Grantee shall include a provision to the effect that the Grantee, USADF, the United States Agency for International Development's (USAID) office of the Inspector General, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the contractor which are directly pertinent to the specific program for the purpose of making audits, examinations, excerpts and transcriptions.

18. NOTICES

Any notice given by USADF or the Grantee shall be sufficient only if in writing and delivered in person or mailed as follows:

to USADF, at the addresses specified in the award; or

to Grantee, at Grantee's address shown in the award or to such other address designated within the award.

Notices shall be effective when delivered in accordance with this provision, or on effective date of the notice, whichever is later.

19. RESPONSIBILITY DETERMINATION

(This section applies only to Grantees that do not have a positive pre-award responsibility determination).

- (a) Not later than forty-five (45) days after the effective date of this Agreement, the Grantee shall complete USADF-mandated training to increase the Grantee's capacity to receive, manage, and account for funds it receives under this Grant.
- (b) Subsequent to completion of this training and within ninety (90) days of the effective date of this Agreement, USADF shall make a responsibility determination on the adequacy of the Grantee's internal policies and procedures that addresses whether:
 - accounting, record keeping, and overall financial management systems meet acceptable standards;
 - the Grantee's system of internal controls including, but not limited to, segregation of duties, handling of cash, contracting procedures, personnel and travel policies would be considered "reasonable" in accordance with the applicable cost principles;

- the Grantee’s property management system, if applicable, meets acceptable property standards;
 - the Grantee’s procurement system, if procurement is significant to the award, meets acceptable standards; and
 - the Grantee possesses or has secure access to the human resources required for successful performance.
- (c) Unless the Foundation agrees otherwise in writing, the Grantee must receive a positive responsibility determination from USADF within ninety (90) days of the effective date of this Agreement to avoid termination of the Agreement. Except for training required in 19 (a) above, no funds will be disbursed to the Grantee, unless provided for in the Terms and Conditions of the Grant Agreement, until the Foundation issues a positive responsibility determination to the Grantee.
- (d) The Foundation shall conduct continuing oversight of the financial management aspects of the award through reviews of reports, correspondence, site visits or other appropriate means. When deemed necessary the Foundation shall request or arrange for special audits.

Appendix B: Quarterly Report Template

Please follow the following links for downloadable versions of the quarterly report templates.

Quarterly Report Template Part I – Excel (English)

<https://drive.google.com/file/d/1QSYyLB5rGsOiW-2Nyk03HJGHM6i8lY5j/view?usp=sharing>

Quarterly Report Template Part II – Narrative (English)

<https://drive.google.com/file/d/14rudu3DXIRhEUm6q8UpCz1F9iNplxmGA/view?usp=sharing>

Drug Free Workplace Certification

Introduction

The United States Government Drug-Free Workplace Act requires all recipients of funds from any agency of the Government to certify the following: (a) that the recipient will conduct activities funded by the grant in a workplace free of illegal use of drugs, such as marijuana, heroin, and cocaine; and (b) that certain measures, outlined below, will be taken to maintain a drug-free workplace. The United States African Development Foundation (USADF) is required to provide the certification below to all grantees abroad and in the United States. The certification must be signed by the grantee before receiving any USADF funds.

Instructions for Certification

4. By signing and returning this form to the United States African Development Foundation, the grantee is providing the certification set out below to the extent consistent with applicable laws and regulations of its country.
5. USADF relies on the certification in making the decision to enter into the grant agreement with the grantee. If USADF later determines that the grantee knowingly rendered a false certification or otherwise violated the requirement of the Drug-Free Workplace Act, USADF, in addition to any other remedies available to the Federal Government, may terminate the grant agreement.

Certification Regarding Drug-Free Workplace Requirements

1. The grantee certifies that it will provide a drug-free workplace by:
 - a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of illegal drugs is prohibited in the grantee's workplace and specifying the actions the grantee will be taken against employees for violation of such prohibition;
 - b. Establishing a drug-free awareness program to inform employees about –
 - i. the dangers of drug abuse in the workplace;
 - ii. the grantee's policy of maintaining a drug-free workplace;
 - iii. any available drug counseling, rehabilitation, and employee assistance programs; and
 - iv. the penalties may be imposed upon employees for drug abuse violations.

- c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- d. Notifying the employee in the statement required by paragraph (a) that as a condition of employment, the employee will—
 - i. abide by the terms of the statement; and
 - ii. notify the employer of any criminal drug statue conviction for the violation occurring in the workplace no later than five days after such conviction;
- e. Notifying USADF within ten (10) days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- f. Taking one of the following actions, within thirty (30) days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - i. taking appropriate personnel action against such an employee, up to and including termination; or
 - ii. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purpose by local or national health, law enforcement, or other appropriate agency;
- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

2. The site(s) for the performance of work done in connection with the specific grant.

(ENTER THE NAMES OF THE VILLAGE, REGION, AND COUNTRY, OR THE TOWN AND COUNTRY WHERE THE PROJECT WILL BE CARRIED OUT.)

Name of Authorized Representative, Title

Date

Name of Authorized Representative, Title

Date

Annex 13: Excluded Uses of Grant Funds

Under no circumstances can CRA Grants Facility funds be used for procurement of and/or support of any of the following items and/or activities (below list includes items from MCC Environmental Guidelines and the IFC exclusion list):

- i.** Military equipment.
- ii.** Surveillance equipment
- iii.** Commodities and services for support of police or other law enforcement activities
- iv.** Abortion equipment and services
- v.** Luxury goods and gambling equipment
- vi.** Weather modification equipment.
- vii.** Pesticides and agrochemicals of any kind
- viii.** Entertainment representation, gifts, gratuities, donations, alcoholic beverages, tobacco products, fines and penalties.
- ix.** Activities involving physical violence by any individual, group, or government.
- x.** Costs related to campaigns for public office
- xi.** Lobbying directed at influencing public policy decisions of local, State, or National governments
- xii.** Costs related to education, training or informing audiences of any partisan policy or practice or candidate for office
- xiii.** Financing activities declared illegal under all laws applicable in Niger, as well as any prohibited activities under the MCC compact
- xiv.** Costs incurred before signing the grant agreement.
- xv.** Fines/bad debts/penalties/promotional items without a clear functional benefit to the project
- xvi.** Salary or honoraria payments for current employees of the Government of Niger or local officials to include excessive reimbursement of costs incurred for travel expenses or other allowances related to participation of employees of the Government of Niger or local officials in activities necessary for project completion
- xvii.** Gifts, gratuities, donations
- xviii.** Payments of any kind to politically affiliated organizations or parties, as well as costs related to campaigns for public office
- xix.** Direct tax payments or indirect support of Grantee tax liability
- xx.** Compensation to members of the media for services
- xxi.** Costs of advertising, which are not necessary for completion of the grant as a specific deliverable, including advertising and public relations, designed primarily to promote the implementer organization rather than complete the project

- xxii.** Miscellaneous and/or Contingency costs
- xxiii.** Projects that are classified as Category A or D based on recommendations contained in the OECD Common Approaches, the Operation Policies of the World Bank, and MCC's Environmental Guidelines due to potential environmental and social impacts and the extent of environmental and social review required. (See Section 4 of MCC Environmental Guidelines, 2012).
- xxiv.** Projects that are identified as Category B1 in the PASEC Manual d 'Execution prepared by the World Bank through the project categorization Environmental and Social Screening (ESS) tool outlined in Annex 8
- xxv.** Funds provided under the MCC Compact in general and the CRA Grants Facility in particular shall not be used to procure any goods or services furnished by any firm or individual whose name appears on the "Lists of Parties Excluded from Federal Procurement and Non-Procurement Programs" and the World Bank debarred list. All goods, works and related services procured under the grant agreement shall be from eligible countries as defined by MCC Program Procurement Guidelines (<https://www.mcc.gov/resources/doc/program-procurement-guidelines>). USADF will provide the Applicant with this list upon request and USADF and its Partner will screen procurements made under the grant against this list.
- xxvi.** Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements, or subject to international bans, such as pharmaceuticals, pesticides/herbicides, ozone depleting substances, PCBs, wildlife or products regulated under CITES. Production or trade in weapons and munitions.^{1 27}
- xxvii.** Gambling, casinos and equivalent enterprises.¹
- xxviii.** Production or trade in radioactive materials. This does not apply to the purchase of medical equipment, quality control (measurement) equipment and any equipment where IFC considers the radioactive source to be trivial and/or adequately shielded.
- xxix.** Production or trade in unbonded asbestos fibers. This does not apply to purchase and use of bonded asbestos cement sheeting where the asbestos content is less than 20%.
- xxx.** Drift net fishing in the marine environment using nets in excess of 2.5 km. in length.

¹This does not apply to project sponsors who are not substantially involved in these activities. "Not substantially involved" means that the activity concerned is ancillary to a project sponsor's primary operations.

- xxxi.** Production or activities involving harmful or exploitative forms of forced labor²²⁸/harmful child labor.^{3 29}
- xxxii.** Commercial logging operations for use in primary tropical moist forest.
- xxxiii.** Production or trade in products containing PCBs.
- xxxiv.** Production or trade in ozone depleting substances subject to international phase out.
- xxxv.** Production or trade in wood or other forestry products from unmanaged forests.
- xxxvi.** Production, trade, storage, or transport of significant volumes of hazardous chemicals, or commercial scale usage of hazardous chemicals.
- xxxvii.** Production or activities that impinge on the lands owned, or claimed under adjudication, by Indigenous Peoples, without full documented consent of such peoples.

A reasonableness test will be applied when the activities would have a significant development impact but circumstances of the country require adjustment to the Exclusion List.

² Forced labor means all work or service, not voluntarily performed, that is extracted from an individual under threat of force or penalty.

³ Harmful child labor means the employment of children that is economically exploitive, or is likely to be hazardous to, or to interfere with, the child's education, or to be harmful to the child's health, or physical, mental, spiritual, moral, or social development.

Annex 14: Performance Indicators³⁰

Level	Result	Indicator	Definition	Unit	Disaggregation ³¹	Classification	Reporting	Base line	End of Compact
Outcome	Increased volumes and values of products sold	Organization Sale Revenue Growth	% growth in enterprise revenues	Percent	Grantee types Project categories	Level	Annual	0	N/A
Outcome	Additional funds leveraged	Amounts leveraged (co-financing)	Total value of grantee cash and/or in-kind contributions, grants and/or loans received and counted as co-financing contribution by participating grantee types	USD ³²	Grantee types Project categories By source	Cumulative	Semi-annual ³³	0	\$750k
		Additional and/or follow-on funding/leveraged	Total value of additional funding obtained by Grantees to expand project and/or operations and committed by EOC. Additional funding is funding outside grant commitments; can be obtained during implementation or post completion	USD ³⁴	Grantee types Project categories By source type	Cumulative	Semi-Annual	0	\$1m
Output	Increased investment in productive assets	CAPEX and OPEX investments	Total value of OPEX and CAPEX investments (amounts obligated as specified in CRA Grant agreements)	USD	Grantee types Project category OPEX & CAPEX	Cumulative	Semi-annual	0	N/A
		Storage facilities	Total number of storage facilities built and/or expanded and operational as result of CRA grant	Number	N/A	Cumulative	Semi-annual	0	N/A

³⁰ These are Facility-level indicators. Each grantee is expected to produce its own specific set of indicators (along with its own M&E Plan and activity logic) measuring its specific outputs and outcomes given potential differences in grantees' sectors of activities.

³¹ **Grantee types:** (MSMEs, Cooperatives, Processor Groups, WGs, YGs); **Project categories** (rain fed production, small scale irrigation, livestock integration, agro-processing, input delivery); **By source type** (Financial institution, other grants)

³² Data is collected by implementer in local currency. USD conversion will be done at the time of reporting.

³³ Indicators with Semi-annual frequency of reporting will be reported semi-annually with data disaggregated by quarters.

³⁴ Idem

Output	Increased investment in productive assets	Storage capacity	Total capacity of storage facilities built and/or expanded and operational as result of CRA grant	m3	N/A	Cumulative	Semi-annual	0	N/A
		Retail shops established	New or expanded retail shops established to sell inputs and equipment as a result of a CRA grant.	Number	N/A	Cumulative	Semi-annual	0	N/A
		Processing facilities	New or expanded processing facilities built and operational (agro processing and feed mills) as result of CRA grant.	Number	N/A	Cumulative	Semi-annual	0	N/A
		Wells and bore holes built	Total number and wells and bore holes built and operational as a result of a CRA grant.	Number	N/A	Cumulative	Semi-annual	0	N/A
		Animals fattened	Total number of fattened animals sold through interventions funded by a CRA grant.	Number	N/A	Cumulative	Semi-annual	0	N/A
		Fisheries established	Total number of new and/or expanded fisheries as result of CRA grant.	Number	N/A	Cumulative	Semi-annual	0	N/A
Output	Grants and BDS provided	Number of CRA Facility grants completed	Total number of completed projects funded by CRA Grants Facility (i.e. grants have completed all activities described in grant agreement and closed out)	Number	Grantee types Project category	Cumulative	Quarterly ³⁵	0	65
		Number of CRA Facility grants formally amended	Number of CRA Facility grants that were formally amended to make material changes to scope and/or value of the grant	Number	Grantee types Project category	Cumulative	Semi Annual	0	N/A
Output	Grants and BDS provided	Number of grant agreements signed	Total number of grant facility projects funded via grant agreements with BDS support	Number	Commune Grantee types Project category	Cumulative	Quarterly	0	65

³⁵ For the indicators to be reported quarterly, they will be reported by USADF once quarterly as progress on the indicators are ongoing. Once the indicator is no longer relevant, USADF will cease to report.

		Value of grant agreements signed	Total value of grant facility projects funded via grant agreements with BDS support	USD	Commune Grantee types Project category	Cumulative	Quarterly	0	\$7.5m; Women & Youth: \$1.5m
		Amount disbursed by CRA Grants Facility	Total value of grants disbursed	USD	Commune Grantee types Project category	Cumulative	Quarterly	0	\$7.5m; Women and Youth: \$1.5m
		People associated with each grant	Total number of individuals receiving direct benefits from project (i.e., producers, input buyers, employees, people receiving services)	Number	Grantee types Sex	Cumulative	Semi-annual	0	N/A
Output	Grant Facility established	Grant Facility is established and functional	Date of establishment and launching of the Facility	N/A	N/A	Date	Once	N/A	N/A
Output	TA under the grants	Grantees trained	Total number of individual grantee members trained in improved business management practices	Number	Gender	Cumulative	Semi-annual	0	N/A
		Value of support budgeted	Total financial value of technical support budgeted as part of grant agreements	USD	Grantee types	Cumulative	Semi-annual	0	N/A
Process	N/A	Applications received	Total number of grant applications received	Number	Commune Grantee types	Cumulative	Quarterly	0	200
Process	N/A	Applications shortlisted for proposal development	Total number of applications selected for proposal development	Number	Commune Grantee types	Cumulative	Quarterly	0	85

ⁱ Irrigation schemes cooperatives will be replaced by water user associations and must use water charges