

SANREM CRSP ASSOCIATE AWARD GUIDELINES

What is a Leader with Associates (LWA) Award

The SANREM CRSP LWA cooperative agreement is designed to allow maximum flexibility to USAID Missions and Regional Bureaus to quickly initiate, design, and manage country and region-specific activities without lengthy competitive awards processes. The LWA mechanism follows the guidelines of Contract Information Bulletin 99-10 Leader/Associate Assistance Instruments (May 14, 1999). The caveat to designing an Associate Award is that it must be consistent with the general program description of the Sustainable Agriculture and Natural Resource Management CRSP Leader award. The SANREM CRSP mandate is fairly broad and includes promoting sustainable agriculture and natural resources management through stakeholder empowerment, enhanced resource management, strengthened local institutions, enterprise development, improved market access for small-holders and communities, and sustainable and environmentally sound development. The SANREM CRSP's USAID Agreement Officer's Technical Representative (AOTR) will determine whether the program description of the Associate Award is consistent with the SANREM CRSP mandate. Associate Awards will define the award amount, the technical focus of the partnership, the expected results, performance indicators and data/information collection methodology.

The advantages to using the SANREM CRSP LWA to procure technical assistance include:

- The LWA is easy to procure because no additional competition is necessary. Since the Leader cooperative agreement has already been competed by EGAT/AG, Missions can initiate an Associate Award with little extra effort.
- The LWA is responsive to Mission needs by empowering Mission staff to design the program description of the Associate Award cooperative agreement.
- AOTR responsibility for the Associate Award remains in the field rather than in Washington as with typical cooperative agreements. Participating USAID Missions will designate AOTR responsibility to one of their staff.
- The ceiling for Associate Award cooperative agreements is decided at the time of award by the Mission, not by the Leader.
- The expiration date for Associate Awards can be extended out to September 2019, which is 5 years beyond the expiration date of the Leader award. To have the Associate Award cooperative agreement extend beyond the Leader award, a no-cost justification will be required.
- EGAT/AG is available to provide support, advice, and feedback on proposed Associate Award program descriptions.
- Simplified Mission award documents.
- Simplified certification by the recipients.
- Reporting directly to the Missions on the use of Mission funds

- The Leader, with resources from EGAT/AG, also supports increased awareness of the participating partnerships among U.S. and overseas constituents that may be interested in the partnership's results.

Guidance for SANREM CRSP Partners Concerning Associate Awards

- Partners and others are barred from negotiating with Missions for Associate Awards by the terms of the SANREM CRSP LWA Cooperative Agreement.
- If you identify an Associate Award opportunity, contact the SANREM CRSP Program Director immediately and he will work with you and the Mission to investigate the possibility of an Associate Award and develop the Associate Award if appropriate.
- It is improper to pursue an Associate Award with a Mission when you are supported with federal funds. When you are traveling on SANREM (or other federal) funds in support of existing SANREM activities, it is appropriate for you to meet with USAID Missions. However, if you go to a mission to solicit an Associate Award, you must be paid with non-federal funds for the time that you are "marketing" the Associate Award. For example, you should cover a half day of your salary with non-federal funds if you spend a morning talking to a Mission about a potential Associate Award that they had not solicited. If they had contacted you first and requested assistance in developing an Associate Award, your time would not need to be charged to a non-federal source.

Steps To Utilize the SANREM CRSP LWA:

1. The Mission notifies EGAT/AG AOTR of the overall SANREM CRSP LWA about the Mission's intention to initiate an Associate Award. The EGAT/AG AOTR is Harry Rea, hrea@usaid.gov.
2. The Mission develops a program description and forwards it to the EGAT/AG AOTR. He evaluates the technical fit with the SANREM CRSP and informs the Mission whether SANREM is an appropriate mechanism for the task at hand.
3. If the AOTR approves the technical fit with SANREM, the Mission contacts SANREM CRSP ME directly to clarify/elaborate the Statement of Work (SOW) and budget for the Associate Award.
4. The SANREM CRSP ME makes a decision as to whether the proposed Associate Award is appropriate for the SANREM CRSP. If not, no Associate Award is developed. Otherwise, the SANREM CRSP ME provides assistance, if requested, i.e., sample program descriptions and programmatic suggestions based on key lessons learned from previous partnerships.
5. The SANREM CRSP ME develops a team to carry out the SOW and provides an itemized budget based on the program description for final review by Mission.
6. An AOTR in the Mission is named for the Associate Award, and the award is procured. Activities begin immediately.
7. Mission file documentation for Associate Awards:
 - a. Consultation with Global;

- b. letter to the recipient setting forth mission specific parameters - area of activity, necessary background, Host Country involvement, funds and period limitation, etc. and requesting the recipient to submit an application;
- c. recipient's application,
- d. memo of program description/budget analysis as may be necessary;
- e. copy of final associate grant (copy shall be sent to Global also) with affirmation of certifications; and
- f. copy of the Leader grant.

Associate Award Conditions:

1. The Associate Award must be issued to the Leader Recipient (Virginia Tech) as a separate assistance agreement from the Leader Award. Sub-grantees and subcontractors are not eligible to receive stand alone Associate Awards through this mechanism.
2. Bureau or Mission officials shall hold discussions and negotiations relevant to the Associate Award with the Leader Recipient only.
3. Missions and Bureau officials shall not direct the Leader Recipient to a specific partner.
13. Associate Awards can be issued as either cooperative agreements or grants. The nature of the award is determined by the Mission.
14. In the schedule of the Associate Award, the Agreement Officer shall include appropriate language requiring the recipient to provide a copy of all program and financial reports to the technical office that funded the Associate Award and a copy of all programmatic reports to the Agreement Officer's Technical Representative in Global (Harry Rea, USAID AOTR SANREM CRSP).

Budget Considerations

- **Management Entity Expenses:** The SANREM CRSP ME takes a management entity expense of up to 20% (as in the SANREM CRSP LWA cooperative agreement) to manage each Associate Award. The actual management entity expense will be dependent upon how much ME oversight is required to successfully oversee the Associate Award.
- **Cost Sharing** – Amount of required cost-sharing is determined by the Mission(s) issuing the Associate Award.
- **Indirect Costs for US institutions and CG Centers** - For all applications, indirect costs are limited to the lesser of federally negotiated off-campus research rates or 30 percent of modified total direct costs for U.S. universities, IARCs, and non-host country organizations. No indirect costs are allowed on equipment and student tuition.
- **Indirect Costs on Host Country Sub-awards** – Indirect costs by lead institutions on planning and long-term research sub-awards to host country organizations are

prohibited. Indirect costs for host country institutions and organizations are limited to 10 percent.

- **Associate Award Sub-awards** – The SANREM CRSP sub-award policy is designed to maximize the amount of funding going to host country organizations.

Lead sub-awardees, who waive indirect costs on sub-awards to host country organizations, may administer the host country organization sub-awards and the sub-awards with indirect costs to other participating US partners and IARCs.

If the lead sub-awardee is unable to waive host country organization indirect costs, then the ME (OIRE/VT) will manage sub-awards for the host country organizations, US partners, and IARCs for the lead sub-awardee. The lead sub-awardee is still responsible for managing the programmatic components of the project. Virginia Tech will make payments to sub-awardees on receipt of invoices and copy the responsible lead sub-awardee PI so that the PI will know what have been expended against the approved budget.

This policy will be followed by all participating sub-awardees including Virginia Tech.

Budget Terminology

- **Host Countries** - country(ies) worked "in", "for", or "on behalf of".
- **Host Country Expenditure** - funds expended exclusively "in", "for" or "on behalf of" Host Country SANREM CRSP , i.e., host country graduate student stipend, equipment for an host country, salaries for staff or labor working in the host country, etc.
- **Domestic Expenditures** - funds expended "in" the U.S. "for" general SANREM CRSP, i.e., equipment for a U.S. lab, a U.S. graduate student stipend, part of or whole salaries for post-doctorates, secretaries, technicians, etc. working in the U.S.
- **Academic Scientist Staff** - U.S. University faculty in permanent or temporary positions working in the U.S. or an LDC.
- **Other Salaries** - Clerical or any hourly labor, i.e., work-study students or field workers.
- **Supplies** - chemicals, paper, tags, bags, diskettes, film, etc.
- **Equipment** - Computer, microscope, vehicle, incubator, etc.
- **Travel** - If you travel to Guatemala and back then your airfare will go under Guatemala; if you travel to Guatemala and Jamaica on the same trip, then 1/2 your airfare will go under Guatemala and the other half under Jamaica. All travel which is done exclusively in the U.S. will go under U.S.