**Appendix B**

**NUPAS Final Report Template**

[*Note: This final report template includes guidance language in red text, which must be deleted prior to finalizing the report. The final report should primarily focus on the results of the survey. There is no need to include extensive detail on the organization itself or other background information.*]

**Date of Final Report:** *insert date*

**To:**  *insert name and title of Agreement Officer (AO) or equivalent*

**From:** *insert name and title/office of Survey Team Leader or other relevant person submitting the report*

**CC:** *insert name and title/office of relevant Mission staff to copy*

**Organization Name:** *insert full legal name of the organization*

**Dates of Survey:** *insert dates of site visit and/or virtual meetings*

**Survey Team Members:**

1. Name, Title, Operating Unit
2. Name, Title, Operating Unit
3. Name, Title, Operating Unit
4. Name, Title, Operating Unit

**Executive Summary**

[*Include a brief (1-3 sentences) introduction to the type of organization, for example: ABC Organization is a non-profit local organization based in City. ABC was preliminarily selected for award under Solicitation No. 123, to result in a simplified grant in the amount of USD.*]

At the instruction of the AO, a Survey Team was composed to conduct the Non-U.S. Preaward Survey (NUPAS). Following the conclusion of the NUPAS, the Survey Team determined that the organization: *[check one]*

* Has sufficient financial and managerial capacity to manage the potential USAID award in accordance with the U.S. Government (USG) and USAID requirements.
* Has *insufficient* financial and managerial capacity to manage the potential USAID award in accordance with the USG and USAID requirements. The Survey Team has identified areas of the organization’s operations that present a potential risk to issuance of an award. However, the Survey Team has incorporated recommendations and/or suggested specific conditions to mitigate those risks through targeted requirements.
* Other: [*Be sure to explain the issues in detail. This would include issues significant enough that the AO cannot immediately proceed with issuing the award. For example, the organization does not have valid legal registration. It is different from the previous category, under which an award can proceed, but where there are recommendations to strengthen specific areas of capacity and mitigate risk.*]

**Background**

[*Briefly (3-5 sentences) outline the nature of the recipient organization, their mission, etc. Also briefly describe the objectives of the anticipated award program description.*]

**Methodology and Scope of Survey**

The primary purpose of the NUPAS is to determine whether the applicant organization has sufficient financial and managerial capacity to manage USAID funds, in accordance with USG and USAID requirements, to achieve the intended objectives of the program activity; to assess the organization’s internal control systems and identify areas that may require strengthening and improvement in order to effectively implement program activities, and; to determine the degree of support and oversight necessary to ensure proper accountability of funds provided to the organization.

The survey included an organization questionnaire, a desk review of the questionnaire and documentation submitted by the organization, review of past surveys or assessments conducted by USAID or other donors (if applicable), as well as site visits and/or virtual meetings with key staff at the organization.

The NUPAS includes the following standard functional areas (each inclusive of additional sub-areas encompassing more detail):

1. Legal structure
2. Financial management and internal controls
3. Human resources
4. Program management
5. Records management
6. Cybersecurity
7. Procurement and asset management
8. Subaward management

Prior to conducting the survey, the AO determined that: [*check one*]

* All functional areas and all sub-areas of the survey will be reviewed by the Survey Team.
* The following functional areas and/or sub-areas will not be reviewed by the Survey Team:
  + *List each functional area and/or sub-area that was not included in the survey and explain the justification for not including it.*
  + *Example: Subaward Management: This functional area, and all sub-areas, was not included in the survey because the resultant award does not include any subawards.*
  + *Example: Human Resources, sub-area on Travel Policies and Procedures: This functional sub-area was not included in the survey because the resultant award does not include any travel.*

**Overview of Survey Results and Recommendations**

Following the conclusion of the survey, the Survey Team noted the following recommended improvements for the organization to consider incorporating in order to strengthen its systems. Recommendations are not necessarily specific conditions to be included in the award (see next section for Specific Conditions). Recommendations may include suggestions for the organization to improve its systems or procedures, which do not necessarily present a risk to the award.

1. *List recommendations in detail*

**Suggested Specific Conditions, if applicable**

Based on the results of the NUPAS, the Survey Team has identified the following areas as presenting a potential risk to the award. The Survey Team has, therefore, provided suggested specific conditions for the AO to consider including in the award terms.

*If there are no suggested specific conditions, write “none” or “not applicable”.*

|  |  |
| --- | --- |
| Identified Risk | Suggested Specific Condition |
| *List the functional area and sub-area, and explain the associated risk in detail, tying it directly to impact on the award.* | *Identify conditions that would mitigate the identified risk and suggest a timeframe for meeting the condition.* |
| *Example: Human Resources - the organization does not have an individual serving in an HR role; responsibilities (such as payroll, recruiting and hiring, onboarding and orientation, etc.) are managed by the office receptionist who does not have the requisite experience or qualifications for HR functions. Because the award will include hiring 10 new positions to support program implementation, and generally managing a staff of 20, it is critical to have an HR specialist who is capable of managing the recruitment effort, overseeing interviewing and selection, employment offers, payroll, timekeeping, etc.* | *Example: The organization must identify and hire a qualified HR specialist or outsource its HR needs to a qualified HR/payroll firm. This must be completed within 30 days of the award start date.* |