QUICK REFERENCE
ELEMENTS OF COMPLIANCE:
WHAT YOU NEED TO KNOW

USAID issues awards only to "presently responsible" organizations—ones that have adequate internal controls, can safeguard and responsibly manage U.S. funds, and can maintain compliance with Agency and award requirements. **Federal Acquisition Regulation 9.103** states: "No purchase or award shall be made unless the contracting officer makes an affirmative determination of responsibility." In addition, partners must be able to comply with applicable laws, regulations, and award conditions. (Note that "presently responsible" also applies to individual employees of a USAID partner or prospective partner.)

Many of USAID's requirements and conditions are found in the Automated Directives System (**ADS**), the policies and procedures that guide the Agency's programs and operations. Partners should become familiar with these references when implementing a USAID award:

- **For** *acquisition* **awards (contracts):** ADS 302 (PDF), the Federal Acquisition Regulations (**FAR**), and USAID's supplement to the FAR, the USAID Acquisition Regulation (**AIDAR**) (PDF).
- **For** *assistance* **awards (grants and cooperative agreements):** ADS 303 (PDF) and the Code of Federal Regulations (**CFR**, **new beta version**), specifically **2 CFR 200** and **2 CFR 700**.

Your COR (Contracting Officer's Representative) or AOR (Agreement Officer's Representative) will work with you to ensure that you maintain compliance with the requirements of your award.

Below are additional resources in key operational areas from USAID and other experts. (Note that USAID does not officially endorse materials produced by other groups.)

GENERAL COMPLIANCE
- The Essential NGO Guide to Managing Your USAID Award (PDF)
- Implementation Tips for USAID Partners: Compliance (PDF)
- Compliance and Risk

REGISTERING TO WORK WITH USAID
To work with the U.S. Government, including USAID, organizations must secure a DUNS identification number and a CAGE code (for U.S.-based organizations) or NCAGE code (for non-U.S.-based organizations), and must register in SAM, the System for Award Management. SAM registration must be renewed annually. See our quick reference (PDF) for details.

FINANCIAL MANAGEMENT

Financial *management* involves planning, organizing, controlling, and monitoring financial resources. Financial *reporting* is used to determine whether award expenditures are aligned with the implementation of a project.

Practical Guides and Resources

*   Implementation Tips for USAID Partners: Financial Management (PDF)
*   How to Work with USAID Training Series: Financial Reporting (PDF)
*   Maximizing Nonprofit Internal Controls: A Guide for Even the Most Pure

USAID Policy

*   Financial Management Principles and Standards (ADS 600 series, specifically ADS 620)

HUMAN RESOURCES (HR) POLICIES

Human resources policies are rules or guiding principles that define how an organization addresses personnel-related matters. Some policies are required by local law, U.S. law, or USAID; others are practical or necessary for effective management.

Practical Guides and Resources

*   HR Policy Essentials for Recipients of USAID Funding (PDF)
*   Putting HR Policies into Practice (PDF)
*   Key Personnel (PDF)

PROCUREMENT

Procurement is the process of acquiring goods, supplies, and services for program activities. Partners must establish clear policies and procedures for all aspects of procurement, including vendor selection, inventory documentation, and payment systems.

Practical Guides and Resources

*   Overview of Procurement Policies (PDF)
*   Procurement: Source and Vendor Restrictions, Geographic Codes and Waivers (PDF)
*   Procurement: Solicitation and Selection (PDF)
*   Travel Expenses and Reimbursement (PDF)
*   Procurement Processes and Allowability (PDF)

USAID Policy

*   Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID: ADS 310 (PDF) and 22 CFR 228 (PDF)
*   Procurement of Insurance: ADS 322 (PDF)

PREPARING PROGRESS REPORTS

On a regular basis, partners must submit progress reports to their COR or AOR.

Practical Guides and Resources

- How to Work with USAID Training Series: Preparing Progress Reports: module, quick reference (PDF), sample progress report template (Word)

MONITORING, EVALUATION, AND LEARNING

Partners must have an approved monitoring, evaluation, and learning (MEL) plan before they begin to implement their USAID-funded activity. The MEL plan tells USAID what data partners will gather to track progress and how they will analyze it and make any needed adjustments.

Practical Guides and Resources

- How to Work with USAID Training Series: Monitoring, Evaluation, and Learning: module, quick reference (PDF)

USAID Policy

- Operational Policy for the Program Cycle: ADS 201 (PDF)

BRANDING AND MARKING

USAID partners must follow the branding and marking requirements that apply to their project. Marking is the physical application of a logo on communication materials as well as such physical assets as buildings and vehicles.

Practical Guides and Resources

- How to Work with USAID Training Series: Branding and Marking: module, quick reference (PDF)
- Meeting USAID Branding and Marking Requirements (PDF)

USAID Policy

- Branding and Marking: ADS 320 (PDF)
- Marking: 2 CFR 700.16 (PDF)

ENVIRONMENTAL COMPLIANCE

USAID is committed to protecting the environment from potential harm and requires partners to plan for any environmental effects (positive and negative) of their activities.

Practical Guides and Resources

- USAID Environment Requirements: Environmental Impact Assessment (PDF)

USAID Policy

- Environmental Procedures: ADS Chapter 204 (PDF) and 22 CFR 216

STANDARD PROVISIONS

Standard provisions are laws, regulations, and requirements that apply to USAID partners receiving assistance awards (ADS 303). Though they are "standard," the actual provisions will be provided with each specific award, for example:

- Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations (PDF)
- Standard Provisions for U.S. Nongovernmental Organizations (PDF)
- Standard Provisions for Non-U.S. Nongovernmental Organizations (PDF)