Mr. Martin Ravallion  
Director, DECRG  
The World Bank  
1818 H Street NW  
Washington, DC 20433  

Subject: Grant No. AID-688-IO-11-00001 – Support to Improving the Availability, Quality and Policy Relevance of Agricultural & Rural Statistics in Mali

Dear Mr. Ravallion:  

Under the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (USAID) hereby grants to the International Bank for Reconstruction and Development – (the “Bank” or the “Grantee”), the sum of $4,264,700 to provide support to the Improving the Availability, Quality and Policy Relevance of Agricultural and Rural Statistics Program in Mali (the “Grant”) as described in Attachment 1 (the Schedule) of this grant and in Attachment 2, entitled "Program Description."

This grant is effective and obligation is made as of the date of this letter and will apply to expenditures made by the Grantee in furtherance of program objectives during the period beginning with the effective date and ending September 30, 2016.

This grant is made to the Grantee on condition that the funds are administered in accordance with the terms and conditions as set forth in Attachment 1 (the Schedule); Attachment 2 (the Program Description); and Attachment 3 (the Standard Provisions); all of which have been agreed to by your organization.

Please sign the original and all enclosed copies of this letter to acknowledge your receipt of the grant, and return the original and all but one copy to me.

Sincerely yours,

//s// Beatrice M. Conde.  
Regional Grant Officer

Attachments:  
1. Schedule  
2. Program Description  
3. Excluded Expenditures  

ACKNOWLEDGED:  
INTERNATIONAL BANK FOR RECONSTRUCTION & DEVELOPMENT

BY: //s// Martin Ravallion  
Director, DECRG, The World Bank  
DATE: November 30, 2011
FISCAL DATA

Requisition No.: REQ-688-11-000035
Strategic Objective No. 009- AEG
Total Estimated Amount: $4,264,700


Total Obligated Amount: $836,942

Paying Office:

USAID/OFM
c/o American Embassy
ACI 2000 – Rue 243 – Porte 297
B.P. 34
Bamako, Mali

Email: bamakovoucher@usaid.gov
A. Purpose of Grant

The purpose of this grant is to provide support for improving the availability, quality and policy relevance of agricultural and rural statistics in the Republic of Mali by supporting the design and implementation of a nationally representative panel survey, emphasizing the regular production of detailed information on agriculture and the rural economy as part of a multi-topic survey system, as more specifically described in Attachment 2 (the Program Description) of this grant.

B. Period of Grant

1. The effective date of this grant is the date of Cover Letter. The expiration date of this grant is September 30, 2016.

2. Funds obligated hereunder are available for program expenditures for the estimated period from the date of the Cover Letter to July 31, 2012 as shown in the Grant Budget below.

C. Amount of Grant and Payment

1. The total estimated amount of this grant for the period shown in B.1 above is $4,264,700. USAID hereby obligates the amount of $836,942 for expenditures during the period set forth in B.2 above and as shown in the Grant Budget below.

2. Payment will be made to the Grantee in accordance with the procedures set forth in Attachment 3 (the Standard Provisions).

3. Payment shall be made to the Grantee by bank transfer into such bank account designated by the Grantee. When making each such transfer, USAID shall instruct its bank to include in its payment details information (remittance advice) field of its SWIFT payment message, information indicating: the amount paid, that the payment is made by USAID for TF071650 (Grant No. AID-688-IO-1100001) and the date of the deposit (the “deposit instructions”). In addition, USAID shall provide a copy of the Donor’s Instruction to the World Bank’s Accounting Trust Funds Division by e-mail sent to tfremitadvice@worldbank.org or by fax sent to (202) 614-1315.


5. Additional funds up to the total amount of the grant shown in C.1. above may be obligated by USAID subject to the availability of funds, the mutual agreement of the parties to proceed, and the requirements of the Standard Provisions of the Grant entitled “Revision of Grant Budget.”

D. Grant Budget

The following is the Grant Budget reflecting USAID’s contributions. Revisions to this Budget shall be made only in accordance with the Standard Provisions of this Grant entitled “Revision of Grant Budget.”
<table>
<thead>
<tr>
<th>Date</th>
<th>Obligated Amount</th>
<th>Estimated Additional Amount</th>
<th>Total Obligated and Estimated Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upon signing</td>
<td>836,942</td>
<td></td>
<td>836,942</td>
</tr>
<tr>
<td>July 31, 2012</td>
<td></td>
<td>1,295,408</td>
<td>1,295,408</td>
</tr>
<tr>
<td>July 31, 2013</td>
<td></td>
<td>426,470</td>
<td>426,470</td>
</tr>
<tr>
<td>July 31, 2014</td>
<td></td>
<td>1,279,410</td>
<td>1,279,410</td>
</tr>
<tr>
<td>July 31, 2015</td>
<td></td>
<td>426,470</td>
<td>426,470</td>
</tr>
<tr>
<td><strong>Total:</strong></td>
<td><strong>836,942</strong></td>
<td><strong>3,427,758</strong></td>
<td><strong>4,264,700</strong></td>
</tr>
</tbody>
</table>

E. Reporting and Evaluation

Program Reporting:

The Grantee will submit copies of deliverables or annual program report by mid-July of each year at the latest, and/or the Grantee shall prepare and submit the final report required by this Grant to:

USAG/AEG Team  
c/o American Embassy  
ACI 2000 – Rue 243 – Porte 297  
B.P. 34  
Bamako, Mali

Such report should be e-mailed to:  
Oumarou Camara, Monitoring and Evaluation Specialist  
Tel; 223-20-70-27-97  
ocamara@usaid.gov

One copy of the final report required by this Grant must be provided to docsubmit@dec.cdie.org. If you wish to mail the documents, you may do so to:

Development Experience Clearinghouse  
8403 Colesville Road, Suite 210  
Silver Spring, MD 20910

or you may fax it to (301) 588-7787.

The title page of all reports forwarded to USAID must include a descriptive title, the author’s name, grant number, the project number and title, the grantee’s name, the name of the USAID office, and the publication or issuance date of the report.

F. Special Provisions

1. Grant funds will only be used as set forth in the Grant for eligible expenditures as more specifically described in Attachment 2.

2. Administration Fee:

In order to assist in the defrayment of the cost of administration and other expenses incurred by the Bank under this Grant, the Bank may, following deposit of the Grant, deduct and retain for its own
account from that Grant an amount equal to three percent (3%) of each Grant. In addition, costs for program management up to a maximum of US$211,467 will be charged to TF071650 on an actual basis. If the grant increases beyond what was originally expected at the time of counter-signature of this Grant, and the administrative costs increase as a result, USAID acknowledges that an additional administrative fee may be applied to such new grants.

3. USAID will rely on the procurement and audit policies and procedures of the Grantee.

4. Communication and Addresses

Except as provided for in paragraph C above, any notice, request or other communication to be given or made under this Grant shall be in writing and delivered by mail, facsimile or e-mail to the respective party’s address specified below or at such other address as such party notifies in writing to the other party from time to time:

For the Bank:

Gero Carletto  
Senior Economist  
Development Research Group  
The World Bank  
1818 H Street, NW  
Washington, DC 20433  
U.S.A.  
Tel: (202) 473-1377  
Fax: (202) 522-1153  
E-mail: gcarletto@worldbank.org

For the USAID:

Grant Officer:  
Name: Beatrice M. Conde  
Title: Regional Agreement Officer  
Office: RAAO  
USAID/Senegal – USAID/Mali  
Tel: 011-221-33-869-6100 Ext: 3274  
E-mail: bconde@usaid.gov

Grant Officer Technical Representative:  
Name: Oumarou Camara  
Title: Monitoring and Evaluation Specialist  
Office: Accelerated Economic Growth Team  
Address: USAID/Mali  
Tel: 223-20-70-27-97  
E-mail:ocamara@usaid.gov

5. The Grantee will disclose this Grant and information on this TF071650 in accordance with the Bank’s Policy on Access to Information. USAID consents to disclosure of this Grant and related information on this TF071650

End of Schedule
Attachment 2 – Program Description

The purpose of the grant to the International Bank for Reconstruction and Development is to improve the availability, quality and policy relevance of agricultural and rural statistics in the Republic of Mali by supporting the design and implementation of a nationally representative panel surveys, emphasizing the regular production of detailed information on agriculture and the rural economy as part of a multi-topic survey system.

A. The Project activities can be grouped into five components:

Component A: This component aims to design and implement at baseline two panel waves of a nationally representative multi-topic household survey with a strong emphasis on agriculture and livestock.

Component B: This component aims to improve the validation of data collection methods in both crops and livestock.

Component C: This component aims to provide capacity building activities on data collection and analysis on household surveys through formal classroom and hands-on training.

Component D: This component aims to develop tools to improve the quality and use of the data collected.

Component E: This component aims to disseminate data through various means including conferences, workshops, printed publications and the internet.

Component A: Panel Surveys

1. Recruitment of project staff
   - Term/Co-Term/ETC and Resident Advisor are recruited
   - Additional staff from relevant departments at the World Bank and counterpart institutions, who will participate in survey design, are identified, following a gender-balanced approach
   Estimated Timeline: Within 3 to 4 months of the signing of this Administrative Agreement

2. Develop concept note and work plan
   - Stakeholder meeting is held to contribute to the concept note and work plan
   - A concept note and a detailed work plan is drafted in collaboration with INSTAT & CPS
   Estimated Timeline: Within 3 to 4 months of the signing of this Administrative Agreement

3. Survey preparation activities
   - Sample frame is designed
   - Survey instruments: questionnaires, manuals, forms, MIS system are prepared
   - Data processing system: data entry, data checking is designed and put in place
   - Necessary equipment and materials for field work is procured
   - All survey instruments are piloted, tested and revised
   - Survey teams (enumerators, supervisors, data entry team) are recruited, hired & trained
   Estimated Timeline: For wave 1: within 9 to 12 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali; For wave 2: within 24 months of the beginning of Wave 1
4. Survey fieldwork
   • Data are entered concurrently with field activities
   • Data are further processed, including quality control checks and finalized
   **Estimated Timeline:** Within 12 to 16 months of the beginning of the data collection of each wave

Component B: Field Validation

1. Fisheries module
   • A fisheries module developed, tested and adapted for Mali
   **Estimated Timeline:** Within 9 to 12 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

2. Pastoralist and livestock data
   • Methodology to better characterize pastoralist households and improve livestock data is developed
   **Estimated Timeline:** Within 9 to 12 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

3. GPS vs. compass-and-rope
   • A process for field validating the use of GPS *vis a vis* compass-and-rope is developed
   **Estimated Timeline:** Within 24 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

4. CSPro-based field entry
   • A CSPro-based field-based data entry system is developed
   **Estimated Timeline:** Within 9 to 12 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

Component C: Capacity Building

1. On-the-job training
   • Staff from local institutions are trained in the design and implementation of panel surveys in collaboration with international experts
   **Estimated Timeline:** Throughout duration of the project

2. Training courses
   • Staff from local partner institutions participate in training and preparation activities for data collection and are trained in basic analysis
   **Estimated Timeline:** At least annually throughout the duration of the project

Component D: Tools Development

1. Finalization of fisheries module, including documentation
   • Fisheries module is finalized for implementation in the field
**Estimated Timeline:** Within 12 to 18 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

2. Finalization of pastoralist and livestock modules, and related documentation
   - Finalized versions of pastoralist and livestock modules are prepared for field implementation
   **Estimated Timeline:** Within 12 to 18 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

3. Preparation of GPS vs. compass-and-rope study
   - Results of GPS vs. compass-and-rope study are released to the public
   **Estimated Timeline:** Within 27 to 30 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

4. Completion of CSPro-based field entry system
   - Field staff are prepared for launch of CSPro-based field entry for Wave 1 of panel survey
   **Estimated Timeline:** Within 12 to 18 months of the signing of the Recipient-Executed Grant Agreement between The World Bank and the Republic of Mali

### Component E: Data Dissemination

1. Release data sets
   - Panel data sets are made publicly available (including posting on the web) within 12 months of data collection
   **Estimated Timeline:** Within 12 months of the completion of each wave of data collection

2. Draft background studies
   - Background studies on key methodological issues of relevance to the project are drafted and disseminated in collaboration with other institutions
   **Estimated Timeline:** Continuously from February 2014 until end of project

3. Conduct regional workshops
   - Regional workshops are held to disseminate research results and share experiences
   **Estimated Timeline:** Annually in 2013, 2014 and 2015

**Description of Activities and Expenditures under the Grant for the Integrated Surveys on Agriculture: Improving the Availability, Quality and Policy Relevance of Agricultural and Rural Statistics Project**

1. **Purposes and Objectives**

   This document outlines a project to support a multi-year collaboration between the Republic of Mali and the World Bank’s Living Standards Measurement Study- Integrated Surveys on Agriculture (LSMS-ISA) project in the design and implementation of a multi-topic household panel survey and to build capacity on household surveys. The ultimate objective of this project is to improve the quality, timeliness, and relevance of household-level agricultural statistics in Mali, with an emphasis on sustainability, capacity building, and improving data collection methods.

2. **Use of Contribution Funds: Program and Activities to be Financed**
The LSMS-ISA program in Mali will work with the Cellule de la Planification et de la Statistique du Secteur Développement Rural (CPS) and the National Institute of Statistics (INSTAT) and will coordinate with other institutions like Statistics Sweden and the European Commission, in designing and implementing an Integrated Agricultural Surveys modeled on the LSMS-ISA methodology with the following main features:

Plan of Activities

The project activities can be schematically separated into two phases. In the first phase, the focus is on introducing some more modest changes to the 2011 EAC, while also carrying out analytical work on both the Enquête Agricole de Conjoncture (EAC) 2010 and the Enquête Modulaire Permanent auprès des Ménages (EMOP). This will be combined with a number of pilot activities to develop new tools and validate new methods to be applied to the new survey after 2011.

Activities to be carried out in Phase I can be distinguished into:

a. Full review of the EAC instruments and introduction of modest changes/additions that can be implemented already in the EAC 2011, based on priority data needs as well as on other countries’ experience with collecting similar types of data; and

b. Pilots to be carried out in parallel with EAC 2011 to validate some methodological improvements before full-fledged implementation of a fully integrated approach (in 2012 or 2013).

A sampling expert will be hired to review the sampling designs of the EAC and the EMOP, evaluate the needs in terms of sampling frame and sample design and proposed sampling options for the proposed integrated survey. In addition, analytical work based on the EAC 2010 and the EMOP will be conducted to inform the design of the sample and the questionnaires of the Integrated Survey on Agriculture.

The ultimate goal of phase II would be to establish the Mali Integrated Agricultural Survey (MISA) with the following main features:

1. Multi-topic. In addition to the apparent weaknesses in terms of quality and despite the innumerable survey efforts, the current and planned data household surveys in Mali are not suitable to effectively address some core questions so central to the country’s policy debate on development. Examples of those issues that require more data-based knowledge include the role of agriculture and livestock in poverty reduction, the nature of the linkages between agriculture and non-farm activities, the impact of government policies on rural poverty, etc… in order to achieve that, a new framework and new data collection instruments that integrate cross-sectoral information into a new set of instruments and collect information from the same sample unit, the household. Thus, a questionnaire that contains detailed agricultural information must be integrated with other types of data collection instruments at the household and community level, while also fostering linkages with other types of data e.g. spatially-referenced environmental data. A minimum of three instruments will be developed with input from a Technical Working Group including USAID technical staff that will be established early in the development of the survey, complemented by the active participation of a Data User Group to ensure that the questionnaires reflect the most essential data needs for each panel round.

a. Agriculture, Livestock and Fishery Questionnaire. This questionnaire will cover all aspects of small-holder farming and will be modeled after both the EAC and the Recensement General Agricole (RGA), and other LSMS-ISA Agriculture Questionnaires to ensure, to the extent possible, comparability across time and across countries. The recent EU report on agricultural indicators will be reviewed and taken into account in designing the MISA agricultural instrument. The Agriculture is here broadly defined to include livestock and fisheries. The LSMS-ISA is currently collaborating with FAO and the International Livestock Research Institute (ILRI), as well as with the WorldFish Center, towards the improvement of
livestock and fishery data from household surveys, respectively. Given the importance of both types of activities, added emphasis will be given to both livestock and fisheries in the design of the survey instruments in Mali. As part of the on-going collaborations, full livestock and fishery modules will be developed for inclusion in the Agriculture Questionnaire.

b. **Household Questionnaire.** The Household Questionnaire will be reviewed to ensure its comparability with past socio-economic surveys in Mali and current changing data needs and policy questions. Particular attention will be given to the 2010 EMOP, especially its core modules. The project proposes that the food security and nutrition content of the Household Questionnaire be consistent with World Food Program (WFP) international standards for related indicators. The LSMS-ISA is currently collaborating with WFP to ensure that project surveys meet this objective. Furthermore, anthropometric measurements of children under five will also be taken at part of the EMOP Agricultural Panel.

c. **Community Questionnaire.** This will collect information on local facilities and services, as well as prices at local markets.

2. **Panel survey design.** None of the current surveys in Mali includes a panel dimension. Panel data provide an indispensable instrument in a country’s survey system to study important processes like chronic poverty, vulnerability and risk, and technology adoption in agriculture. A sampling expert will be recruited to explore the possible design options and assist CPS and INSTAT in drawing the MISA sample (as also based on a review of the EAC and EMOP samples).

3. **Multiple visits.** Both the current EAC and EMOP schedules call for four separate visits to each household in the course of a 12-month period. Multiple visits present an ideal platform for collecting agricultural data. However, as the system moves from the current system of quasi-resident enumerators to a field-based data processing based on mobile teams, the need to reduce the number of visits becomes crucial because of the prohibitive costs. Agricultural information would best be collected in at least two of the four visits, to coincide with the agricultural cycle and reduce recall error. This includes collecting land use and input application data at the post-planting time and production information at post-harvest times, with respect to the main (rainy) agricultural season. Dry season (*contre saison*) information could also be collected in one of the other two visits based on recall or through the use of crop harvest diaries. Some information in the Household Questionnaire (e.g. food security and other highly seasonal variables) may also be administered in both visits in the course of the year to capture seasonal variations. The administration of the consumption module may be spread over the course of the visits, or repeated twice if deemed more appropriate.

4. **Field-based data entry.** In order to improve on the quality and timeliness of the data being produced, a Computer Assisted Field Data Entry (CAFE) platform is proposed for the data processing system, concurrent with the field work operations. In the second wave of the panel to be carried out after two years of the first wave, the survey may be conducted by Computer Assisted Personal Interview (CAPI) on Ultra Mobile Personal Computers (UMPCs), as already being implemented in some LSMS-ISA countries.

5. **Capacity Building.** The LSMS-ISA project emphasizes capacity building and developing sustainable systems for the production of accurate and timely information on agricultural households in all its partner countries. The proposed initiative presents a unique opportunity given its long-term horizon. As mentioned, at the expressed request of CPS, capacity building, particularly for staff from its Statistical Unit, will be the emphasis of the project, which envisions a combination of short-term and medium-term technical assistance and training activities on specific aspects of data collection and analysis, combined with strong involvement by staff members from the World Bank, both from headquarters and the World Bank Country Office in Bamako, and consultants who will provide hand-on training for the duration of the project. A resident adviser will also be based in Bamako, preferably at the CPS office, to work closely with CPS and INSTAT and build capacity through day-to-day hands-on training. Finally, a number of regional training activities are envisaged under the LSMS-ISA project with participants from all the LSMS-ISA countries, and
the project will support the engagement of CPS and INSTAT staff in these activities. For example, two workshops on various aspects of panel survey were organized by the project in December in Kenya, and another one of data quality control protocols was planned for next December in Uganda.

6. **Public-use data and dissemination.** All data generated under the LSMS-Mali program will be made publicly available within twelve months of completion of each wave of data collection, or sooner. The public availability of the data is consistent with data access policies of the CPS and INSTAT. Furthermore, the data sets will be fully documented. The project will support participation of at least two experts from CPS and INSTAT in each of the scheduled LSMS-ISA dissemination workshops and in other dissemination activities such as regional conferences and meetings.

**B. Categories of Expenditures / Excluded Expenditures**

The proceeds from the Project shall not be used to finance any of the following expenditures:

1. Expenditures for goods or services supplied under a contract which any national or international financing institution or agency other than the Bank shall have financed or agreed to finance, or which the Bank shall have financed or agreed to finance under a credit, a loan, or a grant;

2. Expenditures for goods included in the following groups or subgroups of the Standard International Trade Classification, Revision 3 (SITC, Rev.3), published by the United Nations in Statistical Papers, Series M, No. 34/Rev.3 (1986) (the SITC), or any successor groups or subgroups under future revisions to the SITC, as designated by IDA by notice to the Recipient:

<table>
<thead>
<tr>
<th>Group</th>
<th>Subgroup</th>
<th>Description of Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>112</td>
<td>-</td>
<td>Alcoholic beverages</td>
</tr>
<tr>
<td>121</td>
<td>-</td>
<td>Tobacco, unmanufactured, tobacco refuse</td>
</tr>
<tr>
<td>122</td>
<td>-</td>
<td>Tobacco, manufactured (whether or not containing tobacco substitutes)</td>
</tr>
<tr>
<td>525</td>
<td>-</td>
<td>Radioactive and associated materials</td>
</tr>
<tr>
<td>667</td>
<td>-</td>
<td>Pearls, precious and semiprecious stones, unworked or worked</td>
</tr>
<tr>
<td>718</td>
<td>718.7</td>
<td>Nuclear reactors, and parts thereof; fuel elements (cartridges), non-irradiated, for nuclear reactors</td>
</tr>
<tr>
<td>728</td>
<td>728.43</td>
<td>Tobacco processing machinery</td>
</tr>
<tr>
<td>897</td>
<td>897.3</td>
<td>Jewelry of gold, silver or platinum group metals (except watches and watch cases) and goldsmiths' or silversmiths' wares (including set gems)</td>
</tr>
<tr>
<td>971</td>
<td>-</td>
<td>Gold, non-monetary (excluding gold ores and concentrates)</td>
</tr>
</tbody>
</table>

3. Expenditures for goods or services intended for (i) a military or paramilitary purpose, (ii) the financing of police activities, or (iii) luxury consumption;

4. Expenditures for environmentally hazardous goods (for purposes of this paragraph the term "environmentally hazardous goods" means goods, the manufacture, use or import of which is prohibited under the laws of the Recipient or international agreements to which the Recipient is a party);

5. Expenditures on account of any payment to persons or entities, or any import of goods, if such payment or import is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations; and

6. Expenditures under a contract in respect of which the Bank determines that corrupt, fraudulent, collusive, or coercive practices were engaged in by representatives of the Recipient or of a beneficiary of the Grant during the procurement or execution of such contract, without the Recipient having taken timely and appropriate action satisfactory to the Bank to remedy the situation.
STANDARD PROVISIONS

I. MANDATORY STANDARD PROVISIONS FOR COST-TYPE AWARDS TO PUBLIC INTERNATIONAL ORGANIZATIONS (PIOS)

1. ALLOWABLE COSTS (April 2011)
   a. The grantee must use funds provided under the award for costs incurred in carrying out the purposes of the award which are reasonable, allocable, and allowable.

   (1) “Reasonable” means the costs that do not exceed those that would ordinarily be incurred by a prudent person in the conduct of normal business.

   (2) “Allocable” means the costs that are necessary to this award.

   (3) “Allowable” means the costs that are reasonable and allocable, and that conform to any limitations set forth in this award.

   b. The grantee is encouraged to obtain the Agreement Officer’s written determination in advance whenever the grantee is uncertain as to whether a cost will be allowable.

2. AMENDMENT (April 2011)

   The parties may amend the award by mutual agreement, by formal modifications to the basic award document, or by means of an exchange of letters between the Agreement Officer and the Grantee.

3. NONLIABILITY (April 2011)

   USAID does not assume liability for any third party claims for damages arising out of the award.

4. NOTICES (April 2011)

   Any notice given by USAID or the Grantee will be sufficient only if in writing and delivered in person, mailed, or transmitted electronically by e-mail or fax. Notices to USAID should be sent to the Agreement Officer at the address specified in the award and to any designee specified in the award. Notices to the Grantee should be sent to the Grantee’s address shown in the award or to such other address designated in the award.

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

5. PAYMENT (PERIODIC ADVANCE) (BANK/IFC SEPTEMBER 2011)

   a. Periodic advances will be limited to the minimum amounts needed to meet the Grantee’s current disbursement needs and must be scheduled so that the funds are available to the Grantee as close as is administratively possible to the actual disbursements by the Grantee for program costs. Periodic advance requests may be established to meet the Grantee’s cash requirements for periods up to 30 days.
b. The Grantee may submit requests for advances to the paying office specified in the award letter as often as may be necessary to meet ongoing disbursing needs. An advance may not exceed 30 days disbursing needs. Subject to Chief Financial Officer (CFO) or Mission Controller approval (as appropriate), requests may be submitted every 30 days covering a 30-day period; or three requests may be submitted covering 30-day sub-periods of a 90-day period to be paid automatically every 30 days; or two requests for up to 90 days each may be submitted to be automatically disbursed in 30-day increments. Requests must state the estimated disbursements to be made during the period covered by the request, the estimated balance of cash on hand from prior advance requests, and the advance amount being requested. Cash advances made by the Grantee to secondary grantees or the Grantee’s field organizations must conform substantially to the same standards of timing and amount that apply to cash advances by USAID to the Grantee (i.e., up to 30 days to satisfy disbursing needs).

c. The Grantee must submit an SF-425, Federal Financial Report (http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf), quarterly, no later than 30 days after the end of the period, to the paying office specified in the award in order to liquidate advances outstanding. The report must show disbursements, advances received, and any cash remaining on hand for the period covered by the report. Within 180 days following the expiration of the award, the Grantee must submit an SF-425 (http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf) showing total disbursements, total advances received, and any cash remaining on hand, which the Grantee must refund to USAID. Failure to provide these quarterly reports may result in the suspension, disruption, or termination of additional payments.

6. AUDIT AND RECORDS (BANK/IFC JULY 2011)

The Grantee shall maintain separate records and ledger accounts in respect of the Grant deposited in the TF071650 account and disbursements made therefrom.

The Grantee shall furnish to the USAID current financial information relating to receipts, disbursements and fund balance United States Dollars of the TF071650 with respect to the Grants via the World Bank’s Trust Funds Donor Center secure website. Within six (6) months after all commitments and liabilities under the TF071650 have been satisfied and the TF071650 has been closed, the final financial information relating to receipts, disbursements and fund balance United States Dollars of the TF071650 with respect to the Grants will be made available to the USAID via the World Bank’s Trust Funds Donor Center secure website.

The Grantee shall provide to the USAID, within six (6) months following the end of each Grantee fiscal year, an annual single audit report, comprising (1) a management assertion together with an attestation from the Grantee’s external auditors concerning the adequacy of internal control over cash-based financial reporting for all cash-based trust funds as a whole; and (2) a combined financial statement for all cash-based trust funds together with the Grantee’s external auditor’s opinion thereon. The cost of the single audit shall be borne by the Grantee.

If USAID wishes to request, on an exceptional basis, a financial statement audit by the Grantee’s external auditors of the Trust Fund, the USAID and the Grantee shall first consult as to whether such an external audit is necessary. The Grantee and the USAID shall agree on the appropriate scope and terms of reference of such audit. Following agreement on the scope and terms of reference, the Grantee shall arrange for such external audit and shall provide a copy to USAID. The costs of any such audit, including the internal costs of the Grantee with respect to such audit, shall be paid by USAID.
The Grantee shall provide USAID with copies of all financial statements and auditors’ reports received by the Grantee from the recipients pursuant to the sub-grant Agreements.

11. REFUNDS (BANK/IFC July 2011)

a. If the grantee earns interest on Federal advances before expending the funds for program purposes, the grantee must remit the interest annually to USAID. Interest amounts up to $250 per year may be retained by the grantee for administrative expenses.

b. Funds obligated by USAID, but not disbursed to the grantee before the award expires or is terminated will revert to USAID, except for funds committed by the grantee to a legally binding transaction applicable to the award. Any funds advanced to, but not disbursed by, the grantee before the award’s expiration or termination must be refunded to USAID, except for funds committed by the grantee to a legally binding transaction applicable to the award.

c. If, at any time during the life of the award, or as a result of an audit conducted under the provisions of this award, USAID funds provided under the award have been expended for purposes not in accordance with the terms of the award, then the grantee must refund the amount to USAID as may be determined by the parties in accordance with the dispute resolution provisions of this award and the grantee’s policies and procedures.

12. AWARD BUDGET LIMITATIONS AND REVISIONS (APRIL 2011)

a. The approved award budget is the financial expression of the Grantee’s program as approved during the award process. USAID is not obligated to reimburse the Grantee for any costs incurred in excess of the total amount obligated under the award.

b. The Grantee must immediately request approval from the Agreement Officer when there is reason to believe that, within the next 30 calendar days, a revision of the approved award budget will be necessary for any of the following reasons:

   (1) To change the scope or the objectives of the program or to add any new activity.

   (2) To revise the funding allocated among program objectives by more than ten percent (10%) of the total budget amount unless the award states otherwise.

   (3) Additional funding is needed.

   (4) The Grantee expects the amount of USAID authorized funds to exceed its needs by more than $20,000 or ten percent (10%) of the USAID award, whichever is greater.

c. The Grantee will not be obligated to continue performance under the award (including actions under the “Termination Procedures” provision) or otherwise to incur costs in excess of the amount obligated under the award, unless and until the Agreement Officer notifies the Grantee in writing that the obligated amount has been increased and specifies the new award total amount.

13. TERMINATION PROCEDURES (BANK/IFC JULY 2011)

The award may be terminated by either party, in whole or in part, at any time with 90 days written notice of termination. After receiving a termination notice from the Agreement Officer, the Grantee must take immediate action to cease all expenditures financed by the award and to cancel all unliquidated obligations if possible. The Grantee may not enter into any additional obligations under the award after receiving the notice of termination, other than those reasonably necessary to effect the close out of the award. Except as provided below, no further reimbursement will be made after the effective date of termination. As soon as possible, but in any event no later than 120 days
after the effective date of termination, the Grantee must repay to USAID all unexpended USAID funds that are not otherwise obligated by a legally binding transaction applicable to the award. If the funds paid by USAID to the Grantee before the effective date of termination are not sufficient to cover the Grantee’s obligations under a legally binding transaction, then the grantee may submit a written claim for such amount to USAID within 120 days after the effective date of termination. The Agreement Officer will determine the amount(s) to be paid by USAID to the grantee under the claim in accordance with the “Allowable Costs” provision of the award and eligible expenditures and activities set out in Attachment 2.

14. FINANCIAL MANAGEMENT, PROCUREMENT, AND EVALUATION (BANK/IFC JULY 2011)

USAID and the grantee understand that funds made available to the grantee must be administered in accordance with the grantee’s own financial rules and regulations, and that the grantee will follow its own policies and procedures including its procurement and evaluation policies and procedures.

15. DISPUTE RESOLUTION (BANK/IFC APRIL 2011)

USAID and the grantee will use their best efforts to amicably settle any dispute, controversy, or claim that results from, or relates to, the award.

16. TITLE TO AND DISPOSITION OF PROPERTY (BANK/IFC JULY 2011)

Ownership of equipment, supplies, and other property purchased with funds under the award will vest in the grantee during the life of the award. Disposition of excess property financed under the award will be made in accordance with the grantee’s policies and procedures.

17. DISABILITY POLICY (BANK/IFC JULY 2011)

The World Bank has an established practice of not discriminating against persons with disabilities in the implementation of World Bank activities and hiring of World Bank staff. Consistent with its policies, procedures, and guidelines and depending on the scope of the activities, the Bank is committed to include men and women with disabilities and benefit children with disabilities in the award activities.

20. TERRORIST FINANCING CLAUSE (EBRD AND THE WORLD BANK) (APRIL 2011)

Recognizing the obligations of the United States and other member countries under various United Nations Security Council Resolutions to take measures to prevent financing of terrorists, the Bank undertakes to use reasonable efforts, consistent with the agreement establishing the Bank and its own policies, including those pertaining to combating financing for terrorists, to ensure that the funds provided under the award are used for their intended purposes and are not diverted to terrorists or their agents.

To the extent the Bank may use the funding provided by USAID under the award for the purpose of providing awards to or entering into contracts with other grantees, the Bank will include a provision in each award agreement or contract between the Bank and each grantee that the grantee

(1) Will not use the proceeds of the award or contract for the purpose of any payment to persons or entities, or for the import of goods, if such payment or import, to the grantee’s knowledge or belief, is prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations (http://www.un.org/en/documents/charter/chapter7.shtml), including under S/RES/1373 (2001) (http://www.undemocracy.com/S-RES-1373(2001).pdf) and related resolutions, and
(2) Will include a corresponding provision in any sub grant agreements or subcontracts that the grantee enters into with entities to which the grantee makes the USAID award funding available.

II. Required as Applicable Standard Provisions for Cost-Type Awards to Public International Organizations

5. PUBLICATIONS AND MEDIA RELEASES (IBRD/IDA/IFC JULY 2011)

a. If the grantee intends to identify USAID’s grant to any publication, video, or other information/media product resulting from the award, the product must state that the views expressed by the author(s) do not necessarily reflect those of USAID. Acknowledgements must identify the sponsoring USAID Bureau/Independent Office or Mission and the U.S. Agency for International Development substantially as follows.

“This publication, video, or other information/media product (specify)] was made possible through support provided by the Office of Accelerated Economic Growth, U.S. Agency for International Development, under the terms of Award No. AID-688-IO-11-00001 The opinions expressed in this publication, video, or other information/media product are those of the author(s) and do not necessarily reflect the views of the U.S. Agency for International Development.”

b. The grantee must provide USAID with one copy of all published works developed under the award and with lists of other written works produced under the award or a link to the relevant website.

c. Except as otherwise provided in the terms and conditions of the award, the author or the grantee is free to copyright any books, publications, or other copyrightable materials developed in the course of or under the award, but USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, the work for U.S. Government purposes.

7. REPORTING OF FOREIGN TAXES (IBRD/IDA/IFC JULY 2011)

The grantee is not subject to taxation of activities implemented under the award based on its privileges and immunities as a public international organization (PIO). The Grant provided may not be used to pay taxes.

8. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (APRIL 2011)

Funds provided under the award may not be used to finance the travel, per diem, hotel expenses, meals, conference fees, or other conference costs for any member of a foreign government’s delegation to an international conference sponsored by a public international organization, unless approved by the Agreement Officer.

End of Provisions
End of Grant