



SUBAWARD RESOURCES & GUIDANCE

ADVANCING PARTNERS & COMMUNITIES

SUBAWARDEE GUIDANCE FOR START-UP
AND WORKPLANNING



Advancing Partners & Communities

Advancing Partners & Communities (APC) is a five-year cooperative agreement funded by the U.S. Agency for International Development under Agreement No. AID-OAA-A-12-00047, beginning October 1, 2012. APC is implemented by JSI Research & Training Institute, Inc., in collaboration with FHI 360. The project focuses on advancing and supporting community programs that seek to improve the overall health of communities and achieve other health-related impacts, especially in relationship to family planning. APC provides global leadership for community-based programming, executes and manages small- and medium-sized sub-awards, supports procurement reform by preparing awards for execution by USAID, and builds technical capacity of organizations to implement effective programs.

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KEY TERMS FOR PROJECT START-UP

Allocable Cost - A cost incurred specifically to support or advance the award.

Allowable Cost - An incurred cost determined to be an acceptable cost to the U.S. Agency for International Development (USAID).

Brand - A visual representation of a product or service, such as a logo or graphic, which is easily recognizable. It is a project's 'signature.'

Branding - The process of developing an identity for a product or service using images and words to evoke positive emotional responses in beneficiaries, which are influenced by their interaction with the implementation of the brand (promotion, customer service, other customers, etc.).

Cost Share - The portion of project or program costs not covered by the United States Government (USG). This may be in the form of cash or in-kind contributions.

FM (or FMO) - Your Agency's Financial Management Office.

Indicator - A specific data point you track to monitor program progress. There are standard USG indicators, in-country standard indicators, and your own program-specific indicators. You will need to work with the APC M&E Officer to determine the appropriate standard indicators for your project based on your subagreement.

Key Personnel - Project positions, as well as the individuals who fill the particular slots. Typically, positions identified in the subaward as 'Key Personnel' are those leadership positions considered essential to the successful implementation of the overall project.

Marking - Applying graphic identities or logos to program materials or project signage to visibly acknowledge contributors; identifies organizations supporting the work.

Monitoring and Evaluation (M&E) - The process of collecting and analyzing data and information for the purpose of identifying and measuring a project's impact.

NICRA - Negotiated Indirect Cost Rate Agreement; this is a rate negotiated individually between an organization and the USG to cover indirect cost.

Obligated Amount or Obligation - The amount a grantor has committed to the program. There is no guarantee that the grantor will reimburse the recipient for any spending above the obligated amount.

Reasonable Cost - A cost that is generally recognized as ordinary and necessary, and that a prudent person would incur in the conduct of normal business.

Significant Rebudgeting - Moving funds between budget categories above a certain threshold set by your funding agency.

Standard Budget Categories - APC suggests all awardees use nine standard categories, including Salaries, Fringe Benefits, Travel and Transportation, Equipment, Supplies, Contractual services, Project Costs, Other Direct Costs, and Indirect Costs.

Workplan - A document that lays out a subawardee's planned activities, timelines, the staff resources required to carry out the activities, and the project's targets.

ACRONYMS

APC	Advancing Partners & Communities
BAFO	Best and Final Offer
CHW	community health worker
FM/FMO	Financial Management Office
HR	Human Resources
LOE	level of effort
M&E	monitoring and evaluation
MOH	Ministry of Health
NICRA	Negotiated Indirect Cost Rate Agreement
PMP	Project Monitoring Plan
USAID	U.S. Agency for International Development
USG	United States Government

GUIDANCE FOR PROJECT START-UP AND WORKPLANNING

INTRODUCTION

This document provides important information for USAID funding recipients to begin implementing projects in accordance with the subaward agreement. The guidance will cover key steps to be completed during project start-up and how to create a project workplan.

The start-up period is one of the most critical phases of your program. While some managers feel compelled to begin implementation as soon as possible, the more attention you give to establishing a solid foundation, the smoother your program implementation will be.

This guidance introduces the major tasks that you need to accomplish between finalizing your award and starting the implementation of your program. The first section, “Start-Up,” lists the major requirements subawardees must complete during project startup and offers a checklist that will help projects stay on track.

The section on workplanning serves as the guidance for workplan development. Here you will find the specific requirements of your workplan under your award. Annex I provides a template that should be used in completing your work plan.

START-UP

The start-up phase of your project begins when your award is executed, and ends when your workplan is approved and you receive funding. During project start-up you are required to complete several USAID compliance requirements. These requirements include:

- Environmental Verification Form and, if necessary, associated compliance plan
- Family Planning Compliance Form and, if necessary, associated compliance plan
- Gender Compliance Plan
- Branding and Marking Plan

More information regarding these requirements can be found in the corresponding compliance guidance documents, located on the [APC website](#): *Environmental Compliance Guidance*, *Family Planning Guidance*, *Gender Compliance Guidance*, and the *Branding and Marking Guidance*.

Activities that begin in the start-up phase may continue throughout the implementation phase of the project. To ensure your start-up is going smoothly, the following timeline/checklist can be used for reference:

Start-Up Checklist

Event/Task	Description	Timeline
Award finalized	Begin the start-up phase by countersigning the award document.	
Project plan	Develop a plan that details activities for the entire life of the project. The project plan should include key deliverables, associated dates and budget lines, and key activities to meet project goals.	Begin immediately, and manage ongoing
Outstanding pre-awards	Attend to any aspects of the award phase that are still pending (such as pre-award conditions).	Continues from award phase
Workplan	Develop a detailed workplan for the first year of the project based on your subagreement. Do a workplan budget comparison to ensure that planned activities are consistent with amounts budgeted.	Start after project planning. Workplan due dates can be found in your subaward agreement.
Financial systems	Make sure your financial manager understands the financial reporting requirements of the award and has everything necessary to meet the minimum requirements. Open a new bank account exclusively for funds dedicated to the project and acquire accounting software applications, if needed.	Must complete certain aspects before receiving funds
Procurement policies and procedures	Establish an effective procurement process to ensure that all procurements made under your award meet USAID requirements and reflect good business practices. ¹	Must complete prior to making purchases
Human Resources (HR) policies	Develop any required HR policies in compliance with local labor laws and communicate them to your staff. HR policies, at a minimum, should include the following sections: equal opportunity and non-discrimination, drug-free workplace, disability, anti-human trafficking, and HIV workplace policy. <i>Please note that these HR policies are USG requirements, not local labor laws.</i>	Systems for tracking hours required immediately; other policies may be less time-sensitive
Monitoring and	Develop indicator definitions, data-gathering processes, and tools. Communicate the importance of data quality	Coordinate with development of

¹ 22 CFR 228 - Rules for procurement of commodities and services financed by USAID: <http://www.gpo.gov/fdsys/pkg/CFR-2012-title22-vol1/pdf/CFR-2012-title22-vol1-part228.pdf>; ADS Chapter 310 - Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID: <http://www.usaid.gov/sites/default/files/documents/1876/310.pdf>; ADS Chapter 312 - Eligibility of Commodities: <http://www.usaid.gov/sites/default/files/documents/1876/312.pdf>

Evaluation (M&E) system	to staff and train them to gather and record data properly. A Performance Monitoring Plan will be developed based on the submitted workplan.	workplan
Baseline assessment	Conduct, or review results from, a project-specific baseline assessment and look for any major baseline data that may already be available.	Coordinate with development of M&E system
Workplan review	Be responsive as USAID reviews your workplan. Adjust your project, if necessary, and notify USAID immediately if any of the changes affect your budget or targets.	Timing varies
Branding and Marking plans	Develop a branding and marking plan and review branding and marking plan guidance.	Complete prior to implementation
Workplan approval	USAID will approve your workplan and notify you.	

WORKPLANNING

The project workplan is the most important document produced during the start-up phase. It serves as the map to guide staff and inform USAID on how the project will be implemented. The workplan should meet the goals listed in the subaward agreement; it must be submitted according to the terms of your subaward.

Each subaward will be different. Much of the information for the workplan will come from the subawardee's application and additional information detailed during the Best and Final Offer (BAFO) and award process. Further information may come from USAID providing assistance to the subawardee during the workplan development phase.

The workplan should include information for the first year of the project. It should be revised annually to adapt to the project's progress and ensure that program goals listed in the subaward agreement are being met. Additionally, if your project has a Family Planning Compliance Plan, the activities named in your compliance plan should be included in the project workplan. Overall, the workplan serves two purposes:

- It communicates how you will complete project activities.
- It is an internal checks and balances tool to better manage project activities.

Through the workplan, both you and USAID will know when activities should be accomplished and how the budget should be spent throughout the first year.

Workplan Sections

A workplan template can be found in Annex I. Each workplan should include the following sections:

- I. Executive Summary

2. Implementation Plan
 - a. Narrative
 - b. Gantt Chart
3. M&E Plan
4. Budget and Budget Narrative
5. Management and Staffing Plan
 - a. Narrative
 - b. Organogram

Executive Summary

The Executive Summary is a short summary that provides a description of the project activities at a high level. It is important to note the total budget and the geographic areas and populations that will benefit from the project. The Executive Summary should also include a problem statement, clearly stating the reason for the project and how the project will address the problem. The Executive Summary should provide an overview of the key project activities and expected results.

Implementation Plan

The Implementation Plan is the longest portion of the workplan. It should include detailed descriptions of each activity and state how they will be completed and by what date. The plan narrative should be organized by expected/intermediate results or objectives (the specific term used will vary based on your subaward agreement) and include:

- Expected/Intermediate Results or Objectives
- Strategies and activities to achieve results or objectives
- Deliverables - tangible outputs of the activity and project

The results or objectives must align with those listed in the subaward agreement; however additional results or objectives may also be necessary to meet the overall goal of the project and should be included in the workplan as well. Feel free to copy the results or objectives directly from the subaward agreement and/or the subaward application.

Implementation plans should be listed in a narrative format and also include a Gantt Chart for the workplan period. Gantt Charts may be included as an annex rather than in the body of the workplan.

Monitoring and Evaluation Plan

The M&E Plan is a general summary of how data will be collected and analyzed to show progress toward meeting the goals of the project. The M&E Plan description will serve as a basis for your Project Monitoring Plan (PMP), which will be developed after approval of your workplan. This section should be brief and provide a general overview of how you will monitor your project activities.

Budget, Travel & Procurement Plan

The Travel and Procurement Plan should include a description of any international travel or procurement needs that are expected to occur during the period covered by your workplan. Both of these items should reflect what is listed in your approved budget.

1. List of international travel - Identification of any international travel necessary for project activities including origin and destination of trips, number of trips/travelers, estimated airfare cost, estimated quarter of travel, and purpose. This can be a generic description; please follow the template in Appendix I for further guidance.
2. Procurement plan - Identification of items that will require waivers or approvals such as motor vehicles, pharmaceuticals, etc.; when the items will be procured; and what country the items will be procured from. More information on what items require waivers or approvals can be found:
 - [USAID Eligibility Rules, Section for Procurement of Commodities and Services for US NGOs](#)
 - [USAID Eligibility Rules, Section for Procurement of Commodities and Services for Non-US NGOs](#)
 - [USAID ADS 312, Eligibility of Commodities.](#)

Management and Staffing Plan

The Management and Staffing Plan will describe the management and staffing structure for the project. This should include an organizational chart that clearly shows the personnel working on the project and the reporting relationships between staff (i.e. an organogram). Anticipated level of effort (LOE) for all staff working on the project should be noted in the narrative. In addition to the chart, this section should also include a narrative explaining the expertise and qualifications of the leadership staff on the project. Much of this information can be found in your subaward application and BAFO response.

ANNEX I: SUBGRANTEE WORKPLAN TEMPLATE

I. EXECUTIVE SUMMARY

Write an overall summary of the project including the problem statement for the project, key budget information, a description of the geographic region and recipient populations, and a short summary of key project activities.

II. IMPLEMENTATION PLAN

Provide a narrative description of how each expected/intermediate result will be achieved, including key activities and deliverables. Include a table of all activities by expected/intermediate result. Examples of the narrative and activity table are provided below.

Workplan narrative example

Expected/Intermediate Result 1: Increase access to injectable contraceptives to rural populations.

The Community Health Worker (CHW) Training activity will train 100 CHWs from the Ouèssè region of Benin on the administration of injectable contraceptives.

The trainings will take place in four different locations throughout the region to ensure small training classes and varied geographic location to increase both the spread of the activity and attendance by CHWs. Prior to the training, an assessment will be conducted to determine the needs of CHWs and identify which CHWs require training. During this assessment, CHWs will be informed of the upcoming trainings to increase awareness and interest.

Each training will follow a standard curriculum and be led by a trained Ministry of Health (MOH) staff member and skilled trainer. The trainings will be six weeks long and include a theoretical module, followed by hands-on exercises. Each CHW must pass a final exam to ensure comprehension of the material and prove the ability to safely administer injectable contraceptives.

After six months of the project, two trainings will take place and 50 CHWs will be trained. By one year, all four trainings will occur, and 100 CHWs will be trained.

Workplan Activity Table Example

Intermediate Result 1: Increase access to injectable contraceptives to rural populations.		
Activity	Description	Completion Date
Activity 1: Conduct needs assessment in Ouèssè	Prior to the training, an assessment will be conducted to determine the needs of CHWs and identify which CHWs require training. During this assessment, CHWs will be informed of the upcoming training to increase awareness and interest.	February, 2014
Activity 2: Coordinate training with MOH	Contact MOH staff in the region and identify who will participate in the co-facilitated CHW training. Work with MOH staff to review training materials.	May 2014
Activity 3: Train CHWs on administration of injectables	Each training will follow a standard curriculum and be led by a trained Ministry of Health staff member and skilled trainer. The trainings will be six weeks long and include a theoretical module followed by hands-on exercises. Each CHW must pass a final exam to ensure comprehension of the material and prove the ability to safely administer injectable contraceptives.	June 2014
Deliverables	<ul style="list-style-type: none"> • Ouèssè Region needs assessment • After six months of the project, two trainings will take place and 50 CHWs will be trained. By one year, all four trainings will occur, and 100 CHWs will be trained. 	<ul style="list-style-type: none"> • February 2014 • June 2014

Workplan Activity Table Template

Immediate Result 2:		
Activity	Description	Completion Date
Activity 1:		
Activity 2:		
Activity 3:		
Deliverables		

Include a Gantt Chart organized by activity for the workplan year (January - December). An example Gantt Chart and template are below (please note that this example only covers a six month period; any Gantt Chart submitted in your workplan should cover a 12 month period).

Gantt Chart Example

Activity	Jan	Feb	Mar	Apr	May	Jun
Activity I: Train CHWs						
Hire data gatherers	X					
Conduct assessment	X	X				
Hire trainers	X					
Identify MOH staff		X				
Plan trainings		X		X	X	
Train CHWs			X			X

Gantt Chart Template

Activity	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Activity I:												
Sub-activity 1												
Sub-activity 2												

III. M&E PLAN

Provide a general description of how you will monitor your project activities. This section should be brief, as a PMP will provide the full in-depth description of your project M&E plan. You do not need to include specific indicators in this section.

IV. INTERNATIONAL TRAVEL & PROCUREMENT PLAN

Include the tables below to show all planned international travel and procurement needs for the time period covered by your workplan. All costs and timeframes should be estimates and are subject to change. This information is important for tracking and approval processes.

Planned International Travel

Purpose	Number of Trips	Number of Travelers	Origin/Destination	Estimated Cost per Trip	Estimated Quarter of Travel
Program monitoring visit	3	1	Washington, D.C./Benin	\$2,203	Q1, 3, & 4
Meeting with MOH	1	2	Washington, D.C./Burundi	\$4,406	Q2

Planned Procurements

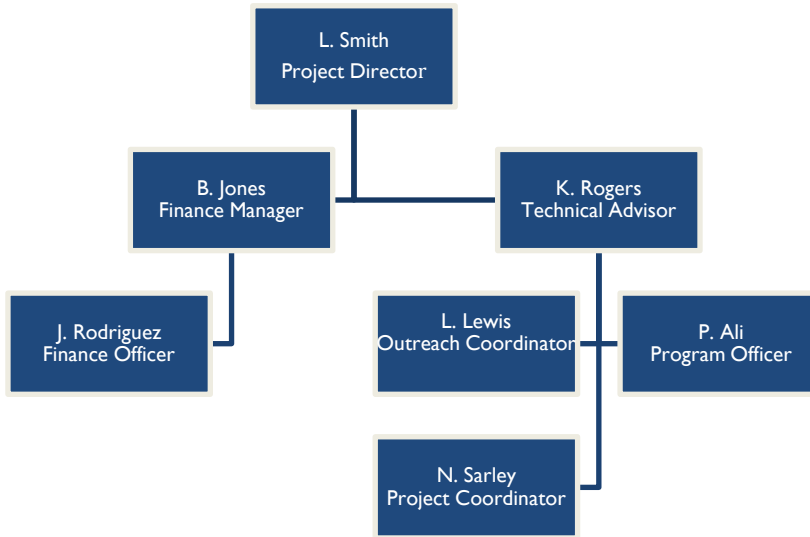
Items	Planned Quarter of Procurement	Country Items Purchased
Motorbike	Q 1	Burundi

V. MANAGEMENT AND STAFFING PLAN

Provide a narrative description of the leadership staff working on the project and the LOE necessary to complete the activities in the workplan.

Include an organogram of all staff supporting the project. Please include both names (if known) and title. An example organogram can be found below.

Organogram Example





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