

PERFORMANCE REVIEW TEMpLATE

FOR ASSISTANCE AWARDS

Bureau for MANAGEMENT (M)

Office of Acquisition and Assistance

Templates Series

**Introduction**

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# **INTRODUCTION:**

In accordance with 2 CFR 200.205, all federal grant-making agencies must review the risk posed by applicants. M/OAA has developed a performance review template for Agreement Officer’s Representatives (AORs) to use in monitoring and documenting performance under Agency assistance awards. This template will assist Agreement Officers (AOs) and AORs in capturing recipient performance information in a timely manner. The completed performance reviews will be maintained in the Agency Secure Image Storage and Tracking System (ASIST) where they can be accessed and used to inform future risk assessments for the recipient/applicant.

# **AUDIENCE:**

Agreement Officer  Agreement Officer’s Representative

Contracting Officer  Contracting Officer’s Representative

Executive Officer  Requestor/Program Analyst/Planner

Negotiator  Technical Evaluation Committee

Budget Officer  Contractor

# **ROLES AND RESPONSIBILITIES:**

1. **The Agreement Officer’s Representative** is responsible for initiating and completing the recipient’s performance review.
2. **The Agreement Officer** is responsible for reviewing the performance review before signing and filing the review in ASIST.

# **GUIDANCE:**

Within 45 calendar days of the completion date of the award, the AOR must review the recipient’s performance by completing the attached template. The AOR may consult with the AO, the Controller/CFO, any activity managers involved in monitoring the recipient, or any other parties with knowledge of the recipient’s performance during the award period. The AOR may also use any available program monitoring data, site visit reports, or evaluations in completing the performance review. The AOR must provide a narrative for each of the three mandatory performance elements, using specific examples when available. The AOR should also provide a narrative for the fourth element, if information is readily available. Illustrative questions for the AOR to consider in drafting the narrative for each performance element are provided in the template. Once completed, the AOR must submit the performance review to the AO for their review.

The AO must review the performance review. The AO must sign and file the completed review in ASIST within 15 calendar days of receipt from the AOR.

# **TEMPLATE INSTRUCTIONS:**

It is the AOR’s and AO’s responsibility to ensure that the performance review is completed in accordance with this guidance and template.

The template is color coded as follows:

***Red/Italic Text:*** The AOR must fill in with appropriate text, as applicable.

Blue highlight text:Indicates guidance to the AOR.

Black/unbold text: Mandatory template text

Therefore, for the final document, the AOR must replace all red text with the appropriate information, read all guidance in blue highlight, take action as applicable, and then delete the blue highlighted text from the final document, and ensure that all other text appropriately reflects the unique and specific facts of the procurement.

**PERFORMANCE REVIEW**

**FOR ASSISTANCE AWARDs**

**Recipient:**  **Award Number:**

**AOR: Award Period:**

**AO:**

**performance elements**

|  |  |
| --- | --- |
| **I. AWARD PERFORMANCE – MANDATORY ELEMENT** | |
| Illustrative Questions: Was the recipient successful in achieving its goals as specified in the award? Did the recipient face any obstacles that hindered it from achieving its goals and if so, was the recipient proactive and responsive in addressing the obstacles? Was the recipient able to effectively plan and manage its award? | |
| The AOR must provide a narrative addressing the recipient’s performance highlighting any significant achievements (or problems) during the award period. | |
| **II. QUALITY OF MANAGEMENT SYSTEMS – MANDATORY ELEMENT** | |
| Illustrative Questions: Were the recipient’s procurement system and internal policies effective in the management of the award? Were the recipient’s systems or policies reviewed by USAID prior to award or during the award period? Was the recipient’s governance and management structure effective for ensuring successful performance? Did the recipient effectively manage its subawards? Did the recipient effectively manage its cash flow and liquidate its pipeline in a timely manner, i.e., did the recipient only draw down funds necessary to cover current expenses? Did the recipient successfully manage its award in accordance with the terms and conditions of the award and the award’s approved budget? When issues arose did the recipient have sufficient means to address them, with minimal USAID involvement? Were there any changes to the recipient’s management systems during the award period? | |
| The AOR must provide a narrative addressing the recipient’s management systems. | |
| **III. COMPLIANCE WITH FEDERAL REQUIREMENTS – MANDATORY ELEMENT** | |
| Illustrative Questions: Did the recipient comply with the terms and conditions of the award? Did the recipient submit financial and performance progress reports in a timely manner? Did the recipient’s reports meet the requirements of the award? | |
| The AOR must provide a narrative addressing the recipient’s ability to effectively implement statutory, regulatory, reporting, or other requirements imposed on the recipient by the award. | |
| **IV. REPORTS AND AUDIT FINDINGS – IF APPLICABLE** | |
| Illustrative Questions: Were there any external or internal reports or audits on the recipient during the award period? What steps did the recipient take to address issues raised in the reports? | |
| If audits or other similar reports on the recipient were conducted during the award period and are readily available to the AOR, the AOR should provide a narrative addressing these reports or audit findings and note any steps the recipient took to address issues raised. | |
| **AOR SIGNATURE** | **AO SIGNATURE** |
| *AOR’s Signature goes here* | *AO’s Signature goes here* |
| Date | Date |
|  | *(Indicates AO accepts AOR’s review)* |