

Additional Help: 200-203
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Form to Use Before Obligating Funds

What is it?

This form is a versatile tool to use before obligating funds.

Operating unit staffs or managers may use it to (a) set a marker for work to be done, (b) track progress or present products related to design of activities and results packages, (c) officially record in files where the key pre-obligation paper trail is to be found, and (d) verify that legal requirements for a valid obligation have been met.

It can be used prior to obligations or sub-obligations at the strategic objective (SO) level, the results package (RP) level, or the activity level.

It can be used by SO team leaders, operating unit heads, or others who move our processes forward. It can be placed with official records where it can be found by General Counsel people, Inspector General people, General Accounting Office people, and others who come to help us.

It's sort of a checklist of checklists, both a reminder and a record.

How do we use it?

Down the left hand side are all the accountability items that are relevant to the design and/or approval of development activities or interventions. Not all are needed in all situations and only some are required (e.g., statutory checklists). Many of the items are referred to in the Automated Directives System (ADS) as being necessary where and when it makes sense. ADS or other references (some are still in development) are provided.

Across the top you show the status of each item. Here you have choices as well. You may mark one or more columns for some of the items on the left side. Moving from left to right:

- * Some items, certain analyses for example, don't apply to the SO/RP/Activity in question, so you mark N/A. Note that you can't use N/A for statutory/regulatory items -- they always need to be checked on another column. You may have to explain N/A when you do use it.

- * It may not be the right time to do the analysis or determination, so you defer it. Probably a good idea to estimate and show the date when it will be done, so this

can be used as a tickler or information source for those who may come along after you.

- * Perhaps it's an item that doesn't need a full analysis right now, but it would be a good time for input or clearance from lawyers, financial experts or procurement people, just to make sure that your team is using the best method, a legal method, or the most administratively efficient way of getting business done. In this column you may specify who has been consulted (or cleared) and when. Note that 22 CFR 216 environmental deferrals and Conditions Precedent (CPs) require GC clearance, and initial environmental examinations (IEEs) require bureau environmental officer (BEO) clearance.
- * Possibly you have the whole study or checklist or assessment done, but it's located in a computer memory or a file somewhere. In this column, specify where it is by directory and document identifier, not just that it exists.
- * The last column is self-explanatory. Some managers or team leaders may want their checklists to grow into packages that they can review before making a decision to sign off on an obligation. When that's the case, load the form with attachments and mark this column to indicate what's included.

Op. Unit_____SO_____RP/Activity Name_____

SO/Results Package/Activity Checklist

Accountability Item (ADS ref.) _____ **Status** (*Enter Date*) _____
Deferred Drafted Consulted/Cleared
Final/Filed Attached
(Enter name/org)
Statutory/Reg. Requirements (202.6) GC, FM, A&A, BEO

Country checklist
Assistance Checklist
CN/TN

22 CFR 216 (204)

N/A

Design/Feasibility Analyses (202.6)

Technical
Financial
Economic
Social/Gender
Administrative

Acquisition & Assistance Planning (304)

Perf. Monitoring Plan(s) (203.5.5)

Conditions Precedent/Covenants (202.6.2)

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