



Ministry of Health

GRANT DEVELOPMENT & MANAGEMENT TRAINING MANUAL



PARTICIPANT MANUAL

2017

FMOH | ADDIS ABABA

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Foreword

The Federal Ministry of Health of Ethiopia is working towards standardization and institutionalization of in-service training programs at national level to build the capacity of health professional in a sustainable way. That will be linked to health professional career development and re-licensing. This requires housing in-service training in local institutions which will be accredited to provide in-service trainings. The FMOH with RHBs has selected 51 centers and built the capacity of the selected IST center and HR-RHB. However, developing and managing grants have been great challenges for continuous professional development (CPD) providers.

There have been gaps with the project design, proposal writing and grant management. There is no national grant development and management training manual to build the capacity of program managers. The majority of the grant provided to training centers from limited funders proactively and primarily planned and managed by development partners. Although there has been good progress with regard to capacity building of local training institutes, program managers (IST centers) lack capacity to develop and manage grants effectively.

To fill the gaps on the grant development and management the Ministry developed this training material to help program managers in grant proposal writing, design and management through building the managing and leading capacity of the program managers (IST centers).

Dr. Getachew Tollera

Human Resource Development Directorate Director

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- | | |
|--------------------------|------------------|
| 1. Mrs. Rahima Shikur | FMOH |
| 2. Mr. Selahadin Seid | FMOH |
| 3. Takele Yeshiwas | Jhpiego/FMOH |
| 4. Dr. Kassa Haile | EMA |
| 5. Dr. Geremew Tarekegne | AHARI |
| 6. Yordanos Gedye | AHARI |
| 7. Worku Gizaw | ICAP-E |
| 8. Assefa Tasisa | Jhpiego-Ethiopia |
| 9. Koen Maaskant | FMOH |
| 10. Dr. Ashenafi Negash | ICAP-E |
| 11. Shiferaw Heyi | ICAP-E |

Introduction to the manual

The Health Sector Transformation Plan (HSTP), in line with our country's second Growth and Transformation Plan (GTP II), has set ambitious goals to improve equity, coverage and utilization of essential health services, improve quality of health care and enhance the implementation capacity of the health sector at all levels of the system.

In order to achieve these objectives, enhancing the capacity of the health workforce through need based trainings is a crucial component of the HSTP. The government itself cannot be the exclusive funder of the health system at this stage and therefore needs the financial support of donors. In addition, donor support is required to build capacity more generally to ensure full and effective utilization of grants.

Significant improvement has been observed in the grant utilization but more capacity needs to be built at all levels. It is therefore of paramount important to seek donor support targeted at strengthening the government's capacity to utilize grants fully. The Ministry has started the Continuous Professional Development (CPD) initiative for health care providers in order to continue improving the quality and equity of health care, which is stipulated in the Health Sector Transformation Plan as a key agenda. To enhance the implementation of CPD programs, national CPD and IST guidelines has been developed and local training centers were selected and capacitated to enable them to provide trainings.

In line with this initiative, the number of grants from different stockholders to the Federal Ministry of Health (FMOH), Regional Health Bureaus (RHBS) and training centers is expected to increase. For effective program implementation and management, as well as being perceived as a reliable partner by Development Partners in order to attract future funding, it is important to improve grant management capacity.

According to nationally selected in-service training centers gap assessment report, most of these training centers have little experience in grant development and management. Therefore, most CPD providers have no capacity in terms of grant design, proposal writing and grant finance management. This has also been indicated by CPD providers and RHB-IST focal persons during integrated supportive supervision and national IST annual review meeting.

There is existing training material that has been used for the last few years. Although it is good document, there is a need to nationalize and standardize it in order to make it consistent with the national IST guideline. Moreover, the training package is focused on providing information rather than practical advice. Feedback from trainees and IST centers indicated the need to simplify the material in a more practical way. This supports the need to re-prioritize the contents depth towards practical advice and update the training materials content more generally.

The aim of this training is therefore to improve program managers', grant managers' and training coordinators' ability to develop and manage grants.

Core competences:

At the end of this training the participants are expected to be able to:

- Design grant projects
- Write grant proposal
- Effective grant management
- Proper close out
- Plan sustainability

Course Syllabus

Course description

This six days training course is designed to prepare participants to be able to develop and manage grants effectively for the sustainability of organizational programs. It also enables participant to design grant projects, write grant proposals, manage grants effectively, close out grants properly and plan sustainability.

Course Goal

The goal of this training is to provide participants with the necessary knowledge, skills and tools to implement grant development and management in a systematic manner.

Course Objectives

By the end of this training course, the participant will be able to:

- Describe the basics of grant development and management
- Develop grant project designs
- Write grant proposals
- Explain grant management systems.

Training/Learning Methods

- Illustrated lectures
- Group discussions
- Brainstorming
- Case study
- Individual and group exercises
- Guided Practice
- Experience sharing

Learning Materials

- Participant’s manual for grant development and management
- LCD projectors
- Laptop computers
- Boards (white or black).
- Flipcharts
- Markers

Course requirement: participant of this course should bring the following aid materials to the training

- Participant organization Strategic Plan
- Organization brochures
- Personal computer
- Previous project documents
- Success story documents

Participant Selection Criteria:

Participants for this course should be program managers, training coordinators and other professionals who are working in health related projects and programs and have a minimum of a first degree and above. Participants need to have at least two years of relevant work experience in program management.

Trainers’ selection Criteria:

The following trainer selection criteria will be used to select trainees for this course in the following order:

- Grant development and management TWG Members
- TOT on grant development and management
- Basic grant development and management training with facilitation skill training

Method of Evaluation

- Participant
 - Formative
 - Pre-test
 - Checking participants understanding of principles during presentations and learner activities (group exercise)
 - Evaluation of participant developed activities and materials throughout the course
 - Summative
 - Knowledge assessment (50%): Post-course questionnaire
 - Performance assessment (40%): Based on grant proposal developed
 - Participant’s activity and participation throughout the course (10%)
 - Participants will be certified when they score more 70% for basic and 85% for TOT training in the summative assessment.
- Course
 - Daily Evaluation
 - Daily trainer feedback meeting
 - Course Evaluation

Suggested Course Composition

- 15 to 20 participants
- Three trainers and one course director per course will be needed to facilitate this training
- Participant to trainer ratio will be 1:5
- Venue: IST center

Duration of the course

This national grant development and management training is designed to be delivered in six days

Course Schedule

Date		Agenda	Facilitator
Day 1	AM	Registration, introduction and welcome Chapter 1: Introduction on grant development and management	
	PM	Chapter 2: Grant project design	
Day 2	AM	Chapter 3: Grant project design	
	PM	Chapter 3: Grant proposal writing	
Day 3	AM	Chapter 3: Grant proposal writing	
	PM	Chapter 3: Grant proposal writing	
Day 4	AM	Chapter 3: Grant proposal writing	
	PM	Chapter 4: Grant management	
Day 5	AM	Chapter 4: Grant management	
	PM	Chapter 3: Grant proposal writing (participant presentation)	
Day 6	AM	Chapter 3: Grant proposal writing (participant presentation)	
	PM	Action plan preparation, training evaluation and certification	

Chapter 1: Introduction to Grant Development and Management

Time allocated	4 hours.
Chapter description	This chapter is designed to prepare participants on the basic concepts of grant development and management, learn how to research, identify, and match funding resources to meet specific needs.
General objective	Participants will be able to discuss the basics of grant development and management.
Specific objectives	<p>At the end of this module participants will able to:</p> <ul style="list-style-type: none">• Discuss the basic concepts of grant development and management;• Use methods of identifying funding sources and use techniques to learn about specific funders;• Discuss the concept of organizational assessment and capacity building for grant development and management;• Interpret grant application request for proposal (RFP) guidelines to accurately assess funder’s intent and requirements.

CHAPTER OUTLINE

- 1.1. Basics of Grant Development and Management
- 1.2. Tracing funding sources
- 1.3. Organizational assessment and capacity building
- 1.4. Interpreting Request for Proposal (RFP) and Request for Application (RFA)

1.1. Basics of Grant Development and Management

ACTIVITY 1.1. THINK, PAIR AND SHARE



1. Can you share your experience on grant/contract/cooperative agreements?
2. What is grant development and management?

Time: 15 minutes

A grant is a non-repayable cash award or anything of value provided to a recipient under a written agreement in order to solve a public problem. Contract and cooperative agreement are terms usually confused with grant.

Essentially, a **grant** is when one party **grants** funds to another party to do something, in reasonable hopes that the task can be accomplished. A **contract** on the other hand is a legally binding document in which the parties make promises to deliver a product or service in exchange for consideration (usually money).

A **cooperative agreement** is an award of financial assistance that is used to enter into the same kind of relationship as a grant, but is distinguished from a grant in that it provides for substantial involvement between the federal agency and the recipient in carrying out the activity contemplated by the award.

GRANT DEVELOPMENT

Grants can be awarded by government, Non-Government Organization (NGOs), private organizations, corporations and individuals. A strong grant is based on organizations' strategic planning (SP). As a grant seeker, it is important to identify problems and come up with projects that will address these problems. Only after problems and solutions have been defined, the next step is to look for grant makers. In order to be successful in securing funds, it is key to match the project's objectives with the interests of the funders. Even though grant seeking is not an easy task, it is rewarding in that you are going to solve people's problems through your project.

GRANT MANAGEMENT

Management is the process of accomplishing predetermined objectives through the effective use of human, financial, and technical resources (Longest Jr., Rakich, & Darr, 2000). The key practices of management are:

- Planning
- Organization
- Implementation
- Monitoring and Evaluation

Therefore, effective grant management is a process of overall adequate oversight and monitoring of grants from pre-award stage until close out stage of the grant that includes grant resources, activities and results.

PHASES OF GRANTS MANAGEMENT

Grant management has three phases: Pre-award, Post award and Close out.

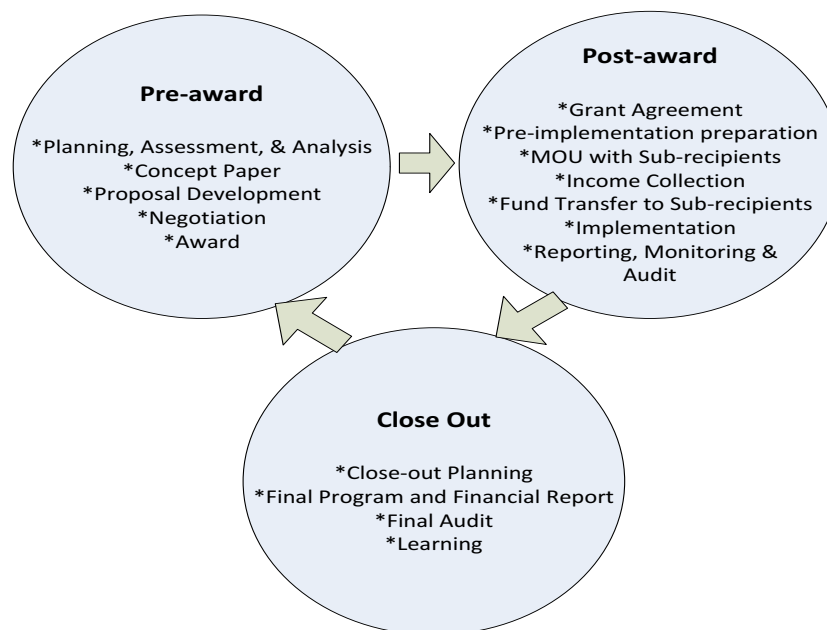


Figure 1: Phases of Grant Development and Management

1.2. Tracing Funding Sources

Grant seeking is a form of fund-raising in which money is raised for a defined purpose in a specified time period. Most grants fund programs or projects developed by nonprofit organizations respond to a specific problem or need. Grant seeking is 80% project development, research, and positioning. The rest is writing. One should never write the first line of a proposal until the project is fully developed. Otherwise you really have nothing about which to write. Once your project is developed, the proposal writes itself. Grant seeking is hard work but infinitely rewarding. When you have a good project that helps people, you can see the fruits of your labor, the work does not seem like a burden.

DONOR RELATIONSHIP MANAGEMENT

ACTIVITY 1.2. THINK, PAIR AND SHARE



Think of a relationship you created with funders and share your experience on how you built that relationship.

Time: 8 minutes

In building relationship with grant makers these are points not to be forgotten:

- **Grant makers are people too**

Remember, all grant makers are people with unique interests, priorities, peculiarities and relative degrees of power over grant making decisions.

- **Develop peer-to-peer relationships**

Your task is to develop strong, peer-to-peer relationships with the decision makers. This can be difficult given the basic power inequities in the relationship, especially for people who are developing proposals for the first time. The old fundraiser's cliché, "People give money to people, not organizations" is also relevant to the grant making world.

- **Telling the truth**

It is important to tell the truth about your organizations' errors and obstacles you face.



- **Be professional**

Be professional by proofreading your letters and proposals, spelling names correctly, keeping track of who works at which foundations, and so forth.

- **Grant Research**

When you consider that only 10% - 15% of all proposals get funded you would think careful grants research should be the norm, but it is not. The more thoroughly you conduct your research, ask good questions, and cultivate foundation contacts, the more your organization will stand out from the crowd.

- **Ask questions a grant detective might consider as well:**

1. Who is funding your peers?
2. How can you present or “package” your work to interest the widest range of potential funders?
3. What relationships can you call upon to help raise money?

Components of building a relationship with funders

Once you have identified foundations through research maintaining a dialogue is at the core of building successful relationships with funders. Your role is to build a pattern of communication that progresses through query letters, telephone calls, and site visits.

1. Attend grant maker-sponsored and “Meet the grant makers” events;
2. Make an appointment to talk with community foundation staff members;
3. Meet community foundation members at their foundation office;
4. For some foundations: write a letter of intent;
5. Invite funders to observe your group in action;
6. Give your best show and tell;
7. If you need to reschedule the meeting, give your visitors plenty of warning;
8. When the deadline nears, send the proposal to the foundation;

Cultivating funders has clear benefits for improving your success rate with applications, but it is equally important to communicate and work with your funders at every stage in the grant funding cycle.

Techniques to Build Reputation

- Pre-qualify your grant-funding opportunity
- Line up the right partners
- Speak with previous grantees
- Attend funder pre-deadline webinars and meetings
- Collect relevant demographics
- Tell a story in your statement of need
- Research relevant best practice
- Embed accountability
- Incorporate relevant graphics
- Give elaborate detail in the budget

APPROACHES TO GRANT SEEKING

There are two primary approaches to grant seeking: reactive and proactive.

1. Reactive Grant seeking

Reactive grant proposals are much like bids for a job and require grant writers with strong analytical reading and good writing skills. Reactive grant seeking centers on identifying Request for Proposal (RFP) opportunities and writing a proposal in response to the invitation from the funder.

2. Proactive Grant seeking

Proactive grant seeking involves finding potential funding sources for your organization's program and initiatives. It requires that the grant seeker is able to research specific foundation giving patterns. In addition, the grant seeker needs to make practical and realistic connections between the mission and goals of the organization and those of prospective funders.

Proactive grants are those that involve identifying appropriate funding sources to support a specific organization, program, or problem-solving initiative. Approaching grant seeking proactively requires a well-planned strategy and an overall knowledge of potential donor sources and their interests and motivations for funding. Grant seekers need to communicate in-country potential funders proactively by developing proposals. Participating national and international annual conferences and meeting and communicate with potential organizations for funding.

FUNDING SOURCE TRACING TIPS

Tip 1: Trend analysis

Before embarking on writing a grant proposal, a grant seeker should identify major trends in grant funding and public policy. This can be done by

- Assessing problems which have caught the attention of the public and the government (e.g. maternal and child health).
- Assessing recent changes in the community's problems
- Identifying recent changes in public policy

To identify as many potential grant-funding sources as possible for your organization, you need to carefully research the primary sources of funding: the public sector (federal, state, and local government) and the private sector (foundations and corporations). As you read information on each funder, you will notice that not all funders want to receive a grant proposal without any warning from the applicant. For many, you need to seek permission to submit a full grant request. That's why your *initial approach* (your first contact with the funder) is so important.

Tip 2: Conducting funding search

For federal funding visiting [grants.gov](https://www.grants.gov) is the quickest way to conduct a federal funding search. Similarly through the Foundation Center's Foundation Directory Online ([foundation center.org](https://www.foundationcenter.org)) you can download profiles of foundations whose interests, priorities, and types of funding support match your funding needs.

Tip 3: Matching funders and specific programs

While there may be countless funding opportunities out there, an organization must weigh a number of factors and decide which specific sources to pursue. When considering future funding, it is important to know your organization, have a clear mission and vision, and understand your organization's strengths. This will help your organization decide which funding sources to pursue and what kind of programs to consider implementing. Such a thoughtful, realistic assessment will lead to a better funder-recipient match.

Once an organization has found an appropriate funding opportunity, the next step is to sell itself as the best organization for the job. Each organization has its own strategy for differentiating itself from other organizations and selling its expertise, experience, and capacity. Organization's strategies commonly include one or more of the following:

- Geographical experience
- Technical Expertise
- Demographic Specialization (e.g. women, children)

1.3. Organizational Assessment and Capacity Building for Grant

Capacity building is a change process. It can entail change of knowledge, skills, work processes, tools, systems, authority patterns, management style, etc. People and organizations can have strong or weak incentives to change, develop, and learn—but eventually the change is an internal process that has to happen in the people or organizations changing.

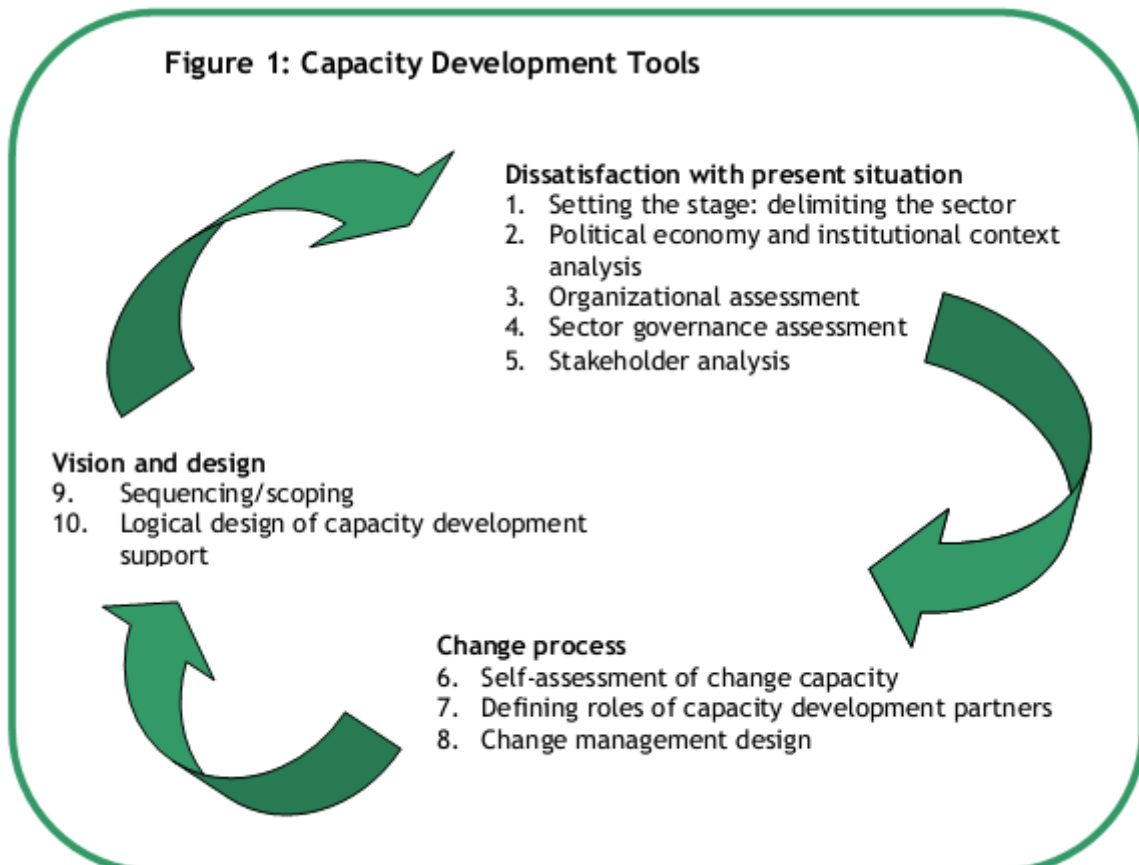


Figure 2: Components of a capacity building plan

When is Capacity Development likely to take place? Three essential ingredients must be present for Capacity Development to happen:

- **Dissatisfaction** with the present situation: Some actors inside and/or around an organization must find the current capacity to be too low, or misdirected. And, since others may think that the present capacity and performance level is good enough, the dissatisfied people must carry more weight than those who are satisfied.

- **A credible change process** to get from the present situation to a future state: The connect between the present dissatisfying situation and a vision for the future is a credible change process, where those who are supposed to develop or change are confident that commitment, competence, and resources are committed behind the change..
- **A shared vision** about the future: Dissatisfaction, however acute, and good change management are not enough. If there is no idea of and belief in a realistic, better future with enhanced capacity, then dissatisfaction will only lead to frustration and passivity.

1.4. Interpreting Grant Application

REQUEST FOR PROPOSAL (RFP) GUIDELINES

- **Request for application (RFA):** The request for application (RFA) is the official document describing a grant program and including the guidelines governing the program (General and Fiscal Guidelines, program guidelines), any legal provisions and assurances that apply to the grant program, as well as the grant application and instructions for completing it.

The typical RFA has the structure that demonstrates some background information; a scope of work; a definition of how they want you to submit the proposal; and a definition of how they will rate the proposal. Most RFPs and RFAs will have this minimum amount of information.

Donors will give an opportunity to bidders to ask questions. The answers to these questions and any other revisions to the original solicitation are intended to provide bidders with additional information. This document is called RFP Amendment. The RFP Amendment will help you to submit credible proposals that respond to the donor's and beneficiaries' needs.

READING AND ANALYZING RFPS

There are several key items to look for in an RFP before your organization develops a proposal. These things include:

1. **Eligibility Criteria:** Your organization must be eligible to apply. Eligibility criteria can include a number of factors about the organization and/or its target population including geographic area.
2. **Project Purpose:** Make sure that the purpose outlined in the RFP is something that your organization has already planned to work on or is able to plan and execute within the required time period.
3. **Deadline:** Be sure that there is enough time to design or tweak an existing program model and describe it in detail.
4. **Number of Grants:** If there are going to be only three or four grant awards made nationally, you'll be facing stiff competition.
5. **Funding Limits:** Make a draft budget of the costs of implementing your project plan to be sure that you can deliver the project for less than the amount of the grant or that you know where other funds will be found.
6. **Match Requirements:** Often RFPs will contain a match requirement, stating something like, "grantees must provide a minimum of 5 percent of the total grant awarded. When indicating that the matching requirement will be met, make sure to discuss this in detail with the relevant office within your organization.

ACTIVITY 1.2. GROUP ACTIVITY



Read the circulated request for proposal document

1. Identify the key items for the advertised RFP
2. Explain each item in brief
3. Share with the larger group

Time: 30 minutes

CHAPTER SUMMARY

- Grant development and management begins with Planning, Assessment & Analysis, goes through proposal development and receiving award, and ends with Organizational Learning
- Trends in grant funding and funding sources can be identified by searching different sources of funding like government or foundation grants.
- Before starting proposal development one should analyze the key components of a funding announcement included in the RFP/RFA.
- An organization's grant seeking capacity can be improved by assessing the current status of the organization, having a capacity building plan and acting on the identified gaps.

Chapter 2: Grant project design

Time allocated	8 hours.
Chapter description	This chapter aims to prepare participants to design a winning project proposal, identify and analyze a problem and propose the best possible solution to address the problem.
General objective	At the end of this chapter, participant will be able to design effective projects to win grants.
Specific objectives	At the end of this module participants will able to: <ul style="list-style-type: none">• Discuss the basic concepts regarding projects;• Perform problem analysis;• Design a project for identified problems.

CHAPTER OUTLINE

- 2.1. Basics of a project
- 2.2. Problem analysis
- 2.3. Project designing tools

2.1. Basics of a Project

ACTIVITY 2.1. THINK, PAIR AND SHARE



1. What is a project?
2. Have you ever been involved in a project activity?

Time: 5 minutes

A project is:

“...a temporary endeavor undertaken to create a unique product, service, or result.

The temporary nature of projects indicates a definite beginning and end.”

The temporary characteristic of a project does not mean that the project is short-lived or that it creates a temporary product. A project can reach its end with its objectives being met (the planned unique, product has been created) or it has been terminated before its successful completion for whatever reason. The outcome of a project must be a unique product, service, or result. Projects are organized to execute a set of activities that cannot be addressed within the limits of the organization’s regular ongoing operations. Projects are designed to contribute towards achieving specified strategic objectives which are developed to meet organizational vision (see the picture below).

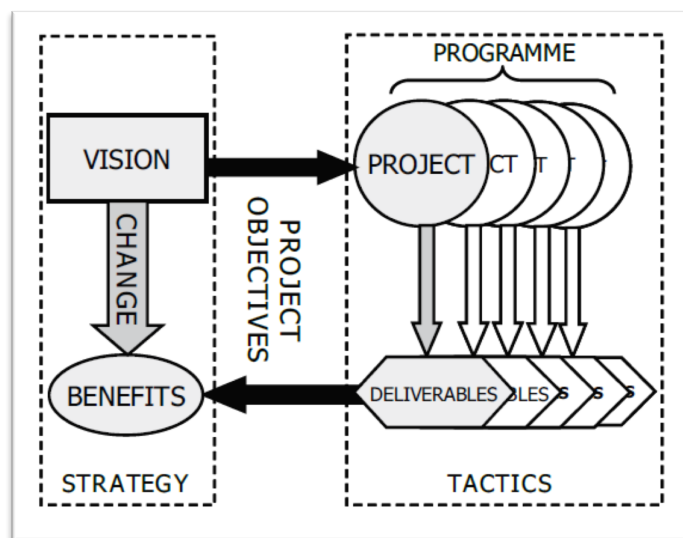


Figure 3: Links of organizational vision with projects

PROJECT LIFE CYCLE

A project life cycle represents the linear progression of a project, from defining the project through making a plan, executing the work, and closing out the project. Figure 3 is a visual representation of the different phases of the project life cycle.



Figure 4: Generic project life cycle

Phase 1: Project Initiation

During the initiation phase, the project objective or need is identified: this can be a problem or opportunity. An appropriate response to the need is documented in a case with recommended solution options. A feasibility study is conducted to investigate whether each proposed solution addresses the project objective and a final recommended solution is chosen. Issues of feasibility (“Can we do the project?”) and justification (“Should we do the project?”) should be addressed.

Once the recommended solution is approved, a project is initiated to deliver the approved solution and a project manager is appointed. The major deliverables and the participating work groups are identified, and the project team begins to take shape. Approval is then sought by the project manager to move onto the detailed planning phase.

General reasons for project initiation:

1. Filling social needs; improving service to customers or clients. Types of need:
 - Normative: a situation defined by an expert
 - Felt: ascertained by clients
 - Expressed: a demand for service
 - Comparative: an inferred measure of need
2. Responding to the activities of competitors;
3. Responding to external changes (e.g. development of new technology);
4. Improving morale; improving internal processes;
5. Exploiting gaps in the market;
6. Responding to government initiatives or new laws .

In addition, the driving forces of projects can be: felt problems, opportunities and business requirements.

Phase 2: Project Planning

During the next phase the project solution is further developed in as much detail as possible and the steps necessary to meet the project's objective are planned. In this step, the team identifies all of the work to be done. The project's tasks and resource requirements are identified, along with a strategy for producing them. This is also referred to as "scope management". A project plan is created outlining the activities, tasks, dependencies, and timeframes. The project manager coordinates the preparation of a project budget by providing cost estimates for the labor, equipment, and materials costs. The budget is used to monitor and control cost expenditures during project implementation.

Phase 3: Implementation (Execution) Phase

During the third phase, the implementation phase, the project plan is put into motion and the work of the project is performed. It is important to maintain control and communicate as needed during

implementation. Progress is continuously monitored and appropriate adjustments are made and recorded as deviations from the original plan occur.

Phase 4: Project Closure

During the final closure, or completion phase, the emphasis is on releasing the final deliverables to the customer, handing over project documentation to the business, terminating supplier contracts, releasing project resources, and communicating the closure of the project to all stakeholders. The last remaining step is to conduct lessons-learned studies to examine what went well and what did not.

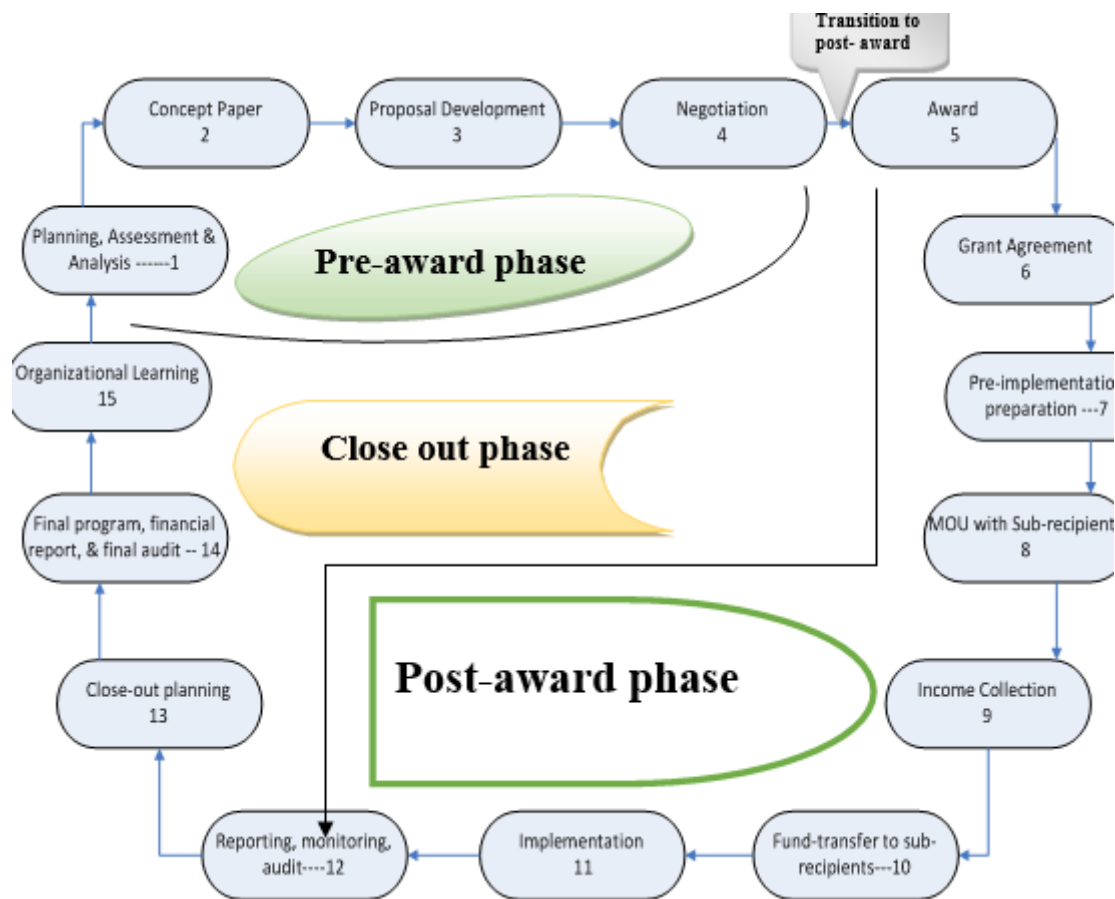


Figure 5: Sample grant cycle, FMOH¹

¹ Description 1 to 4 in the figure above indicate the pre-award phase of the project. Description 5 to 12 indicate the post-award phase of the project. Description 13 to 15 indicate the close out phase of the project

2.2. Problem Analysis

Before we can start to design the project, we need to analyze the problem identified during project identification. Problem analysis identifies the negative aspects of an existing situation and establishes the 'cause and effect' relationships between the problems that exist. It involves three steps:

1. Identification of the stakeholders affected by the proposed project
2. Identification of the major problems faced by beneficiaries
3. Development of a problem tree to establish causes and effect

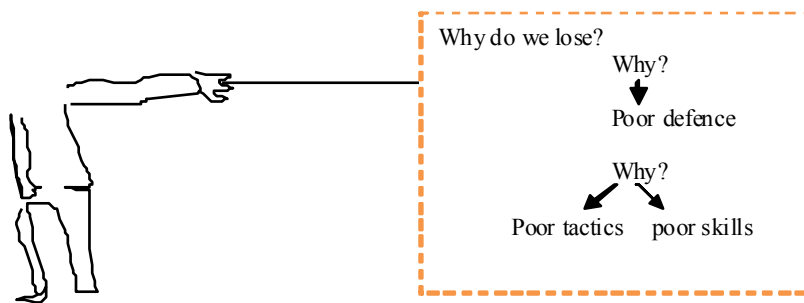


Figure 6: An example problem tree

PROBLEM TREE

Problem tree analysis technique help to identify all the problems surrounding a given problem condition and displaying this information as a series of cause and effect relationship. Problem trees enable stakeholders to get to the root of their priority need and to investigate the effects of the problem.

The problem analysis begins with identifying the core problem (the trunk), then the tree is expanded upwards and downwards as the cause and effect of the problem are identified.

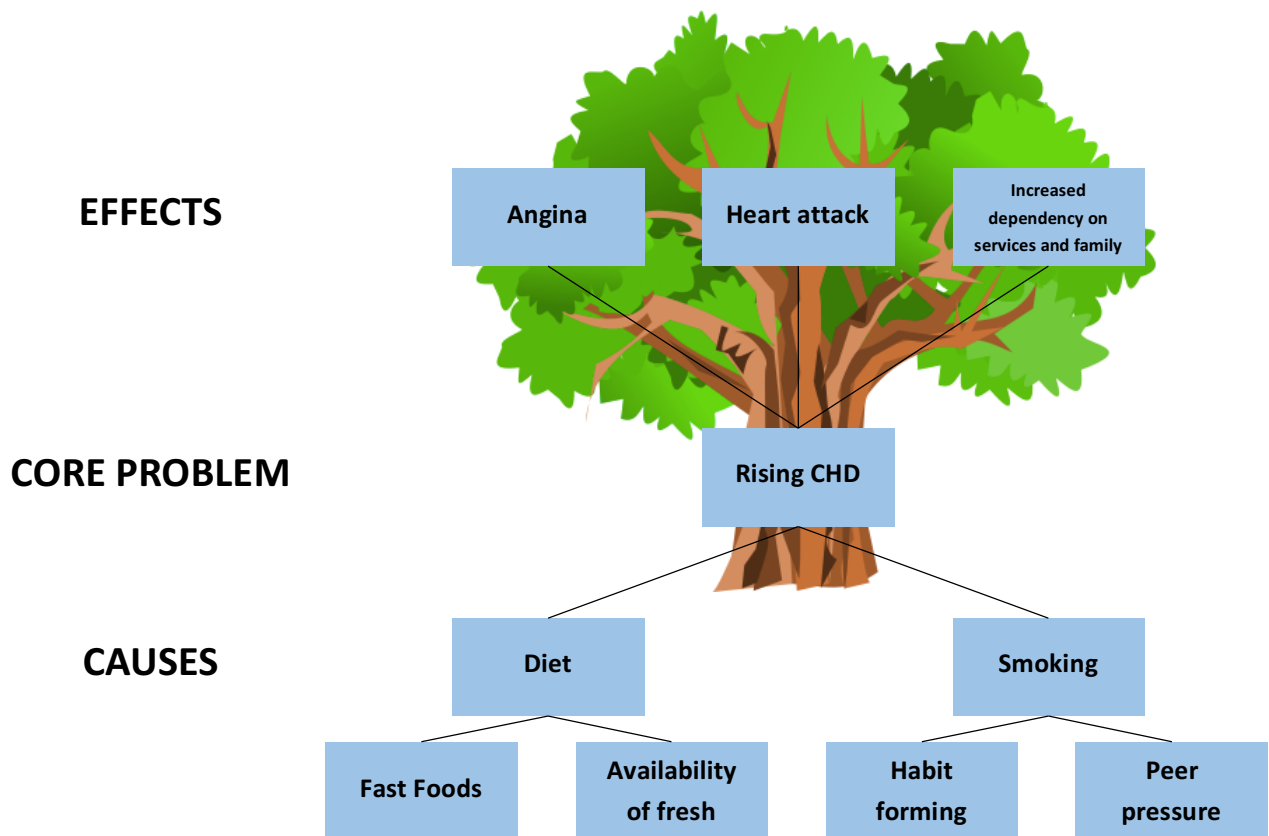


Figure 7: a sample problem tree

OBJECTIVE TREE

An objective tree is similar to a problem tree, except that it looks at objectives rather than problems. An objective tree is a technique for identifying the objectives that will be achieved as a result of solving the problems cited in the problem tree. The objectives are also displayed as a series of cause and effect relationships. An objective tree can be developed without first identifying problems but the easiest way to develop an objectives tree is to convert a problem tree into objectives tree

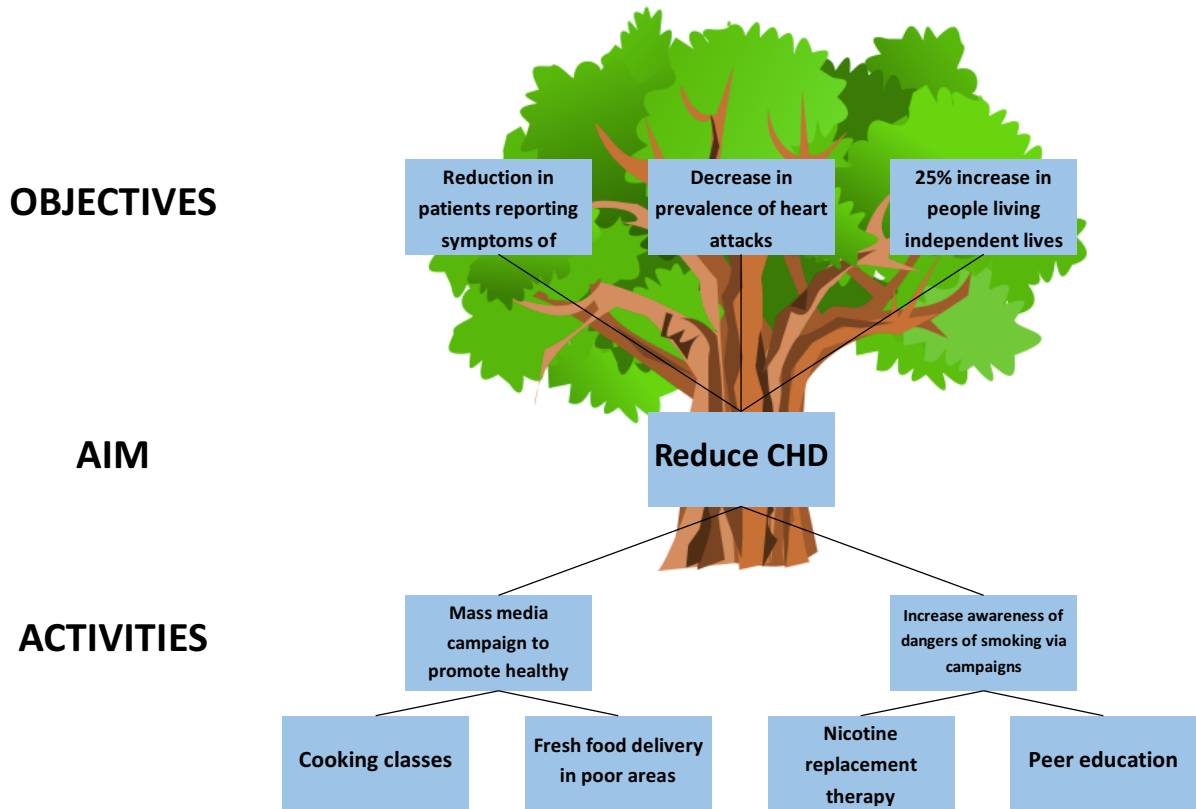


Figure 7: a sample objective tree

ACTIVITY 2.2. INDIVIDUAL AND GROUP ACTIVITY



- Identify a problem of your concern
 - Analyze the problem with problem tree
 - Develop an objective tree
 - Present to the larger group
- Time:** 60 minutes

2.3. Project designing tools

ACTIVITY 2.3. THINK, PAIR AND SHARE



What are the tools used to design/frame a project?

Time: 10 minutes

TOOL 1: LOGICAL FRAMEWORK (LOG FRAMES)

After the project has been identified and detailed information has been collected, we can start to plan exactly how the project will function. A useful way of doing this may be to use a logical framework (log frame). The process of completing the log frame helps to think through all the factors that should be considered for planning a successful project.

The log frame is a tool used to help strengthen project design, implementation and evaluation. It helps to summarize a project plan on a few pages. This helps to communicate your plan clearly with others. However, it is important to realize that a log frame is not a substitute for writing a full plan. A logical framework is a four by four matrix, which enables the decision-maker to identify project purposes and goals and plan for project outputs and inputs.

The log frame asks a number of questions:

GOAL, PURPOSE

Where do we want to be?

OUTPUTS, ACTIVITIES

How will we get there?

INDICATORS

How will we know when we got there?

EVIDENCE

What will show us we got there?

RISKS/ASSUMPTIONS

What are the potential problems/advantages along the way?

<i>Narrative Summary</i>	<i>Verifiable indicators</i>	<i>Means of Verification</i>	<i>Important Assumptions</i>
Goal Description of the higher-level objective to which the project will contribute	Qualitative and/or quantitative measures or parameters used to show the extent to which the goal is met or fulfilled.	Sources of information and methods, the means, for verifying (checking) indicators-used to establish what has been achieved.	Goal Sustainability Main external conditions/events necessary to sustain the objective in the long term-"the super goal".
Purpose Description of the impact or effect the project is expected to achieves as a result of its outputs.	Qualitative and/or quantitative measures or parameters used to show the extent to which the purpose is met or fulfilled	Sources of information and methods, the means, for verifying (checking) indicators-used to establish what has been achieved.	Purpose to Goal Main external conditions /events over which the project has no control but which must prevail if goal is to be achieved.
Outputs Description of the results the project should achieve during its lifetime	Qualitative and/or quantitative measures or parameters used to show the extent to which the outputs are produced.	Sources of information and methods, the means, for verifying (checking) indicators-used to establish what has been achieved.	Output to purpose Main external conditions /events over which the project has no control but which must prevail if purpose is to be achieved.
Activities Description of the activities that the project will undertake to produce its stated outputs.	Inputs Goods, facilities and/or services needed to carry out the stated activities.	Monitoring Means to be used check (monitor) progress of the project's activities.	Activity to output Main external conditions /events over which the project has no control but which must prevail if outputs are to be achieved.

Figure 8: Logical framework

	PROJECT SUMMARY	INDICATORS	MEANS OF VERIFICATION	RISKS / ASSUMPTIONS
Goal	10% increase in the number of Grades 5-6 primary students continuing on to high school within 3 years.	Percentage of Grades 5-6 primary students continuing on to high school.	Comparison of primary and high school enrolment records.	N/A
Outcome	Improve reading proficiency among children in Grades 5-6 by 20% within 3 years.	Reading proficiency among children in Grades 5-6	Six monthly reading proficiency tests using the national assessment tool.	Improved reading proficiency provides self-confidence required to stay in school.
Outputs	1. 500 Grade 5-6 students with low reading proficiency complete a reading summer camp	Number of students completing a reading summer camp.	Summer camp attendance records.	Children apply what they learnt in the summer camp.
	2. 500 parents of children in Grade 5-6 with low reading proficiency help their children read at home.	Number of parents helping their children to read at home.	Survey of parents conducted at the end of each summer camp.	Children are interested in reading with their parents.
Activities	1. Run five reading summer camps, each with 100 Grades 5-6 students who have low reading proficiency.	Number of summer camps run.	Summer camp records.	Parents of children with low reading proficiency are interested in them attending the camps.
	2. Distribute 500 “Reading at Home” kits to parents of children attending summary camps.	Number of kits distributed.	Kit distribution records.	Parents are interested and able to use the kits at home.

Figure 9: Example of a logical framework

TOOL 2: RESULTS FRAMEWORK (RF)

A *results framework* (RF) presents an operating unit’s strategy for achieving a specific objective. Typically, it is laid out in graphic form and supplemented by narrative. An RF includes the objective and the intermediate results necessary to achieve it. The framework also conveys the development hypothesis implicit in the strategy and the cause-and-effect linkages between the intermediate results and the objective. It includes any critical assumptions that must hold for the development hypothesis to lead to achieving the relevant objective.

A results framework is both a *planning* and a *management tool*. The RF is central to the strategic plan and provides a program-level framework for managers to measure progress toward the achievement of results and to adjust relevant programs and activities accordingly. RFs also function as effective *communication tools* because they succinctly capture the key elements of a strategy for achieving an objective.

A results framework should be kept up-to-date; that is, RFs should be revisited or revised when 1) results are not achieved as expected, 2) critical assumptions prove invalid, 3) the underlying development theory is wrong, or 4) critical policy, operational, or resource problems were not adequately recognized

Steps in Designing a Results Framework

Key elements of an RF include setting the strategic objective, intermediate results, hypothesized cause-and-effect linkages, and critical assumptions

1. Setting an Strategic Objective

The *strategic objective* (SO) is the center of any results framework. Defining an SO at an appropriate level of impact is one of the most critical and difficult tasks a team will face. It is a critical task because the strategic objective forms the standard by which the operational unit is willing to be judged in terms of its performance and is the basis for the management contract.

The task is difficult because an SO should reflect a balance of two somewhat conflicting considerations—ambition and accountability. A strategic objective should be the most ambitious result (intended measurable change). Moreover, an SO should be consistent with the

organization's strategic plan. The organization's goal and objective to which the SO contributes should be identified in the results framework.

2. Identify the Intermediate Results

To achieve a long term strategic objective, a set of "lower level" intermediate results must first be reached. An *intermediate result* is a discrete result or outcome thought to be necessary to achieve an objective or another intermediate result critical to achieving the objective. The number of the intermediate results will vary with the scope and complexity of the SO. Eventually, the SO team should arrive at a final set of results that members believe is reasonable

3. Clarify the Causal Linkages Between Results

Once the team has identified the intermediate results that support an objective, it must clarify the principal causal connections that link the two. Consider the following when defining cause-and-effect linkages:

- Causal links may flow from one intermediate result to one or several others.
- Cause-and-effect linkages usually move "up" a results framework. However, causal linkages may "move" in any direction in an RF, as long as they ultimately contribute to the achievement of the SO.
- Links may exist across the results frameworks for different SOs in an operating unit. When important, these links should be presented in the relevant results framework.

4. Identify Critical Assumptions

A *critical assumption* is a general condition under which the development hypothesis or strategy for achieving the objective will hold true. Critical assumptions are outside the control of an organization. SO teams should be realistic when identifying critical assumptions and avoid defining critical assumptions that have a low chance of holding over the duration of the strategy

5. Complete the Results Framework

As a final step, the SO team should step back from the results framework and review it as a whole. The RF should be straightforward and understandable

During the development of the results framework, the SO team should also begin identifying performance measures and formulating activities required to achieve the intermediate results for which the operating unit is responsible.

Results Framework



Figure 10: Sample Results Framework (RF)

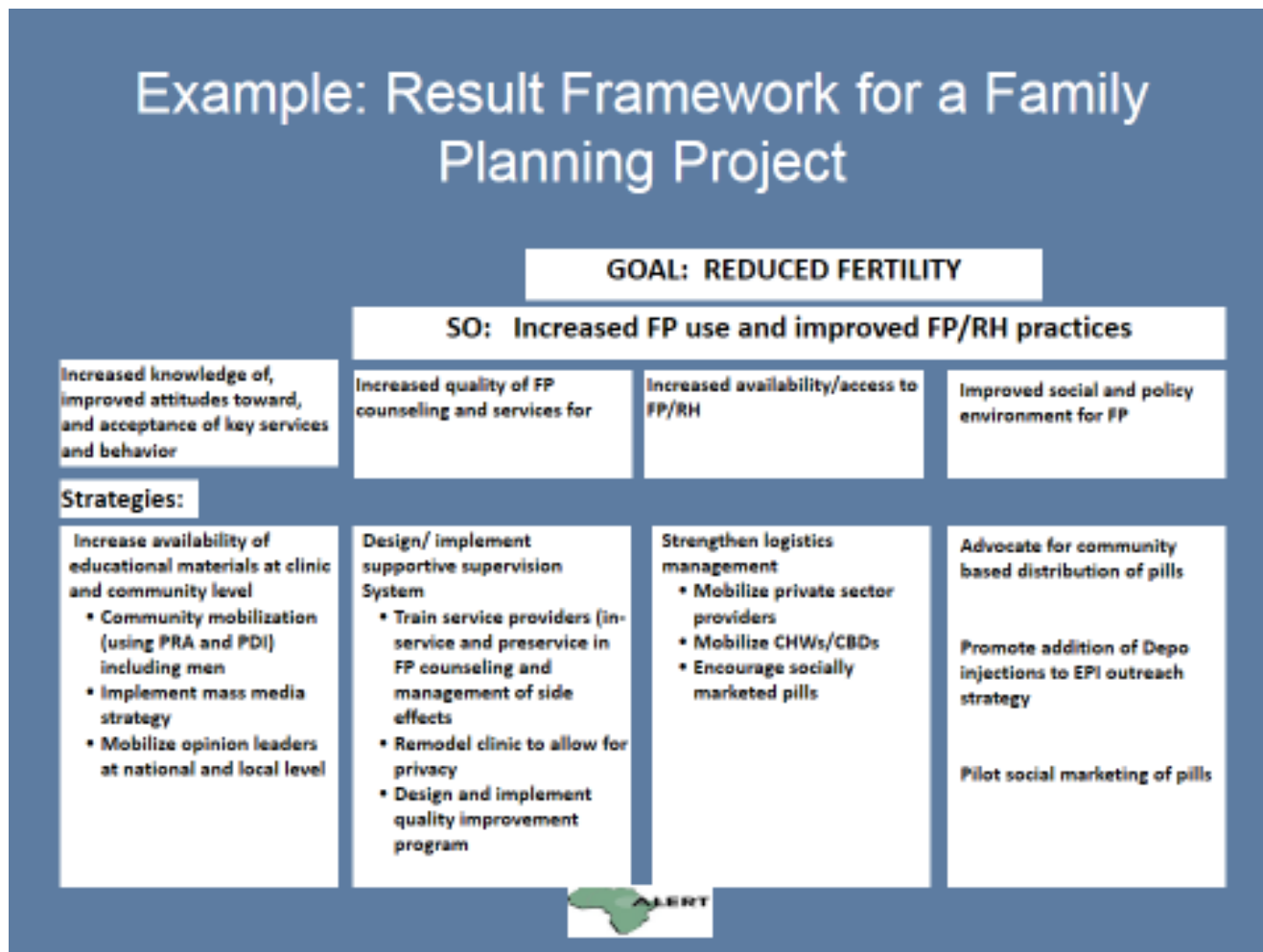


Figure 11: Example Results Framework (RF)

ACTIVITY 2.4. INDIVIDUAL ACTIVITY



1. Using the objective tree you developed , design your project with result/logical frame work
2. Share with the larger group

Time: 60 minutes

Chapter 3: Grant Proposal Writing

Time allocated: 20 hours.

Chapter Description: This chapter will deal with how to develop and write an effective and convincing grant proposal. The chapter involves strategies and techniques of grant writing, standard elements of grant proposal. Participants will be provided with guided practice in writing their own grant proposal with appropriate hands on tips and techniques. **General objective:**

Participants will be able to develop and write an effective and convincing grant proposal.

Specific objectives At the end of this module participants will able to:

- Identify grant development team with their role;
- Organize grant development tools;
- Identify elements of standard grant proposals;
- Develop and write grant proposals;
- Discuss submission and follow up of grant proposals.

CHAPTER OUTLINE

- 3.1. Preparation for grant writing
- 3.2. Core components of grant proposal
- 3.3. Submitting and follow up of grant application

WHAT IS GRANT WRITING?

ACTIVITY 3.1. INDIVIDUAL EXERCISE



1. Define grant writing.

Time: 5 minutes

To succeed in grant writing one should capitalize on the basic ingredients of the required elements of each grant proposal. By adding visual, discursive, tactile or aural elements, one will be able to develop and write proposals for grants that are more appealing to their reviewers. Particularly for smaller grants in health programs, including spicier content into a grant, where permissible, can help one's grant stand apart from all the others.

In case of reactive grant writing, consider the request for proposal (RFP), which is also sometimes referred to as the 'call for grant applications.' RFPs and 'calls for grant proposals' can be rigid. Therefore, grant writing or proposal writing is highly structured and well organized.

In case of proactive grant writing, the projects will be developed before identifying funders with similar objectives. Only after the funder has been found and a project has been defined, the grant proposal will be written. The opportunity form (or any other similar document) can be used to ask the critical questions that should be answered by each organization to determine whether or not they should pursue an opportunity.

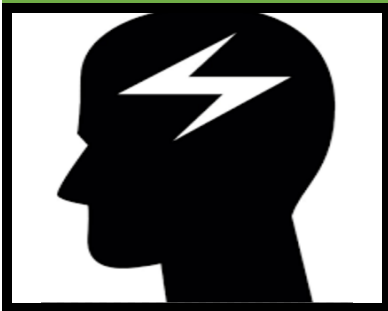
3.1. Preparation for grant writing

In order to write a grant proposal, follow the following steps (described in detail below):

STEP 1	Organize the proposal team
STEP 2	Prepare calendar
STEP 3	Prepare source documents
STEP 4	Develop proposal writing strategy
STEP 5	Prepare questions
STEP 6	Prepare proposal outline
STEP 7	Situational analysis/assessment
STEP 8	Obtain expert opinions/input
STEP 9	Documentation

STEP 1: ORGANIZE THE PROPOSAL TEAM

ACTIVITY 3.2. BRAINSTORMING



1. Brainstorm on the possible team members when you develop a proposal in your organization.
2. What are some of the criteria you would use to form a particular team?

Time: 15 minutes

Proposal team assignments are normally assigned by the organization or department head. The individuals most involved in grant writing part are the initiator/program owner and finance manager. In addition, in case of large grant applications, human resource personnel might be needed and the grant management unit (GMU) coordinator. The initiator/program owner is in charge of scheduling and “cracking the whip.”

Table 1: Responsibility of grant writing team

Team member	Role
Initiator/program owner	<ul style="list-style-type: none"> • Leads the entire proposal process through submission and post submission phase • Coordinate team proposal members (lead meetings, give assignments, ensure drafts of all the section are written) • Develop proposal outline and style protocol • Lead assessment, literature review • Finalize the proposal including overall editing • Ensures that the proposal flows logically and reads well • Ensure technical approach and project budget are founded on the most effective, efficient and realistic assumptions and activities • Prepare detail and summary budget as per the RFP/RFA guideline • Prepare the budget narrative in consultation with the finance manager and per the RFP/RFA guideline • Prepare corporate capability statements per the RFP/RFA • Prepare past performance references per the RFP/RFA • Prepare signed certification and requisition • Prepare required attachments
Finance manager/GMU	<ul style="list-style-type: none"> • Prepare all financial documentation per the guideline • Ensure consistency with organizational financial system/guideline • Provide overall support for the initiator
HR personnel	<ul style="list-style-type: none"> • Ensure that qualified personnel are identified • Recruit for personnel (including the posting of job announcement) • Post award: negotiate the start date, prepare offer letters, provide orientation to the key personnel

STEP 2: PREPARE CALENDAR

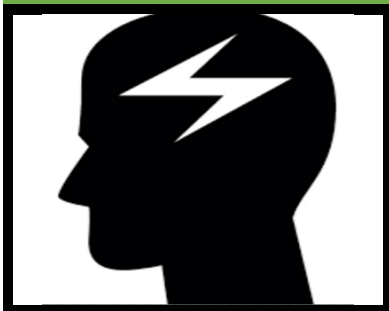
The calendar is a shared document that all members of the team use to know who is responsible for what, when it is due, and to ensure that everyone has a shared understanding of these issues. The proposal manager is generally the person that designs and updates the calendar.

Monday	Tuesday	Wednesday	Thursday	Friday
August 31 Team establishment	September 01 Calendar preparation	September 02 Final calendar distributed to team members	September 03 Source documents identified and prepared	September 04 Source documents identified and prepared
September 05 Situation analysis/ conduct des review, literature review/ site visit, if possible	September 06 Situation analysis/ conduct des review, literature review/ site visit, if possible	September 07 Situation analysis/ conduct des review, literature review/ site visit, if possible	September 08 Situation analysis/ conduct des review, literature review/ site visit, if possible	September 09 Review/summarize the assessment/review results
September 10 Proposal write up	September 11 Public Holiday (Ethiopian new year)	September 12 Proposal Start write up	September 13 Proposal Start write up	September 14 Proposal Start write up
September 15 Proposal Start write up	September 16 Proposal Start write up	September 17 Proposal Start write up	September 18 Proposal Start write up	September 19 Proposal Start write up
September 20 Merging the different sections done by the proposal team	September 21 Merging the different sections done by the proposal team	September 22 Design, graphics.	September 23 Colleague review	September 24 Final review by team members/initiator/program owner
September 25 Review of the document by proof reader	September 26 Incorporate comments and Finalize	September 27 (Public Holiday) Finding of true cross	September 28 Incorporate comments and Finalize	September 29 Submission date

Figure 12: Sample calendar (a proposal timeline for six weeks with a deadline on September 29)

STEP 3: PREPARE SOURCE DOCUMENTS

ACTIVITY 3.3. BRAINSTORMING



1. Brainstorm on the possible source documents needed for preparing a proposal in your organization.

Time: 10 minutes

As with all members of the proposal team, the initiator/program owner must carefully read all available organization documents, such as strategic plans, project ideas, initiatives, previous project documents, success stories and organizational reputations in grant management. If the grant maker provides background documents on the website, these documents need to be downloaded, reviewed and retained for reference.

STEP 4: DEVELOP PROPOSAL WRITING STRATEGY

The proposal writing strategy will determine the priority and level of effort, the bidding configuration, key personnel selection, recruitment strategy, the basic technical approach and the basic proposal structure.

One of the objectives is to unify the major proposal elements, which will be written by different people. Obviously, the strategy may change as the process moves ahead. This is no problem as long as all members of the proposal team are aware of these changes. A cost strategy should also be developed at this time (e.g. will we cost normally or aggressively to enhance chances of winning a tough competition?).

It is important to decide on key messages, or “hooks,” that are woven throughout the proposal. This serves several purposes: it unifies the entire effort, helps your proposal stand out from the crowd, and makes it easy for readers to assimilate what you are trying to accomplish.

Table 2: Critical meetings that should be held for all proposal writings

Meeting	Purpose	Expected Results	Attendees
Go-No-Go Roles and responsibilities (depending on the solicitation, may require two meetings to accomplish the outcomes) Timeframe: within a few days after the release of the RFP	a) Determine if the organization will be competitive in putting together a proposal b) Define which partners would make a strong team c) Identify whether the organization is prime or sub d) Identify staff will contribute to the proposal development	<ul style="list-style-type: none"> • A clear mandate established to move forward in the development of a proposal • A strong team of organization identified with clear roles for who will do what in proposal preparation • The team within the organization corralled to work on the proposal and establish their roles 	Organization head Initiator/program owner Various staffs and consultants? GMU (if available)
Brainstorming Timeframe: within one week after making the “Go” decision	a) Prepare the proposal calendar b) Develop consensus on the logical/results framework c) Agree on proposal outline d) Presenting big questions, including questions concerning the RFP/RFA e) Discuss overarching strategies f) Develop win themes	<ul style="list-style-type: none"> • Consensus established about the intended results of the program • A responsive and concise outline produced with clear responsibilities • Win themes identified that will carry through all proposal sections • A clear path forward is developed 	Initiator/program owner Various staffs and consultants GMU (if available) HR personnel
Costing of activities Timeframe: variable, at least three days before initial review	a) Discuss the costs associated with the primary activities that will be proposed b) Ensure that the budget manager has access to personnel costs c) Develop common understanding/estimate	<ul style="list-style-type: none"> • A first draft of budget with somewhat realistic figures developed for staffing activities and other direct costs included 	Initiator/program owner Finance manager GMU (if available) HR personnel
Initial review Timeframe: at least two weeks before due date	a) Review proposal for alignment between the logical/results framework,	<ul style="list-style-type: none"> • Proposal team resources adjusted to meet any identified shortcomings 	Initiator/program owner Finance manager/ GMU (if available) HR personnel

	<p>inclusion of the win themes, and clarity of presentation</p> <p>b) Provide feedback to assist writers in the refinement of their sections and to address weaknesses</p>	<ul style="list-style-type: none"> • Feedback provided to the technical writer to shore up the proposal 	
<p>Final review</p> <p>Timeframe: at least one week before due date</p>	<p>a) Identify and provide concrete direction to address any final concerns with the presentation or content of the proposal</p> <p>b) Ensure that the budget, budget notes, technical narrative and all key technical attachments are in sync with each other</p>	<ul style="list-style-type: none"> • A convincing proposal developed as a result of guidance provided by team • Final adjustments/edits made to the proposal and package prepared for production and submission 	<p>Initiator/program owner</p> <p>Finance manager/ GMU (if available)</p>

STEP 5: PREPARE QUESTIONS

ACTIVITY 3.4. THINK, PAIR, SHARE AND REFLECT



1. What questions would you like to ask the grant maker before preparing the grant proposal?

Time: 15 minutes

The RFP will normally provide instructions for asking questions regarding the RFP. Make sure to check whether this is the case for the proposal you are writing. All members of the proposal team should list their questions after having reviewed the RFP. The actual e-mail submission of the questions will be done normally by the initiator/program owner.

STEP 6: PREPARE PROPOSAL OUTLINE

As soon as possible after the RFP has been reviewed, the initiator/program owner should ensure that an overall proposal agreed outline is prepared. The overall outline does not need to be extremely detailed, but should show the title and sequence of each section, including annexes.

After this, the different sections within the outline should be assigned to individual team members. The initiator/program owner should coordinate the write up of each section. It is important to clearly indicate on the outline page limits and, if applicable, point values (i.e. how much weight does each section have) for each section.

The outline is normally based on the selection criteria and special instructions for a reactive grant. In case of a proactive grant, the outline should be aligned with the funder's requirement. Copies of the outline should be distributed to all team members and adjustments are made where deemed necessary.

STEP 7: SITUATIONAL ANALYSIS/ASSESSMENT

ACTIVITY 3.5. INDIVIDUAL EXERCISE



1. What do you think the importance of situational analysis, e.g. doing survey in your prospect area even before you write the grant proposal?

Time: 5 minutes

Before the proposal team comes together to write the grant proposal, it is crucial to do a situational analysis, desk review, literature review and study any relevant documents. In addition, it might be necessary to visit the site of the proposed project area to better understand the intensity of the problem and justify the project.

STEP 8: OBTAIN EXPERT OPINIONS/INPUT

Writing a technical proposal requires a lot of research. It is good idea for the writer to contact knowledgeable individuals to gain fresh insights into the project or the subject more generally, and

bounce issues and strategies off them. For example, experts may be able to let you know whether your impact indicators and deliverables are realistic or if they need to be scaled back.

Sometimes it is a good idea to hire technical experts as consultants, either to “pick their brains” or to draft discrete sections of the proposal. Be prepared to get a brain dump from external experts as they are often not experts in how we write technical proposals. Another valuable resource is other project designs or proposals for similar recent projects.

STEP 9: DOCUMENTATION

Keeping track of all the information produced in the proposal development process can lead to headaches if not done effectively. In order to manage all of the information effectively, you and your team can use the structure that is detailed in this folder. It is important to prepare a box file to hold hard copies and a separate file folder to keep soft copies of proposal files for future access. Core components of a grant proposal.

COMPONENT 1: FRONT MATTER

The front matter includes a cover letter, title page, and executive summary.

Cover letter

The cover letter – usually limited to one page – should:

- Describe the agency's interest and capacity to successfully implement the proposed project;
- Have an upbeat tone that makes it stand out in a positive way;
- Summarize the project; and
- Designate a contact person for any questions about the project.

Instructions for the cover letter and title page will be included with the RFP. The cover letter should be on agency stationery and signed by the appropriate organizational official.

Title page

Typical title page contents include:

- Project title
- Name of the organization submitting the grant
- Address
- Contact person
- Name of the prospective funder
- Beginning and ending project dates
- The total amount requested

Executive summary

An executive summary/ abstract is related to, but different from the letter of intent. It includes a summary of the statement of the problem/need, overarching goals of the proposed project (but not the detailed objectives), a summary of the methods that will be used to implement and evaluate the project, and a final paragraph describing your group's or agency's capacity (expertise and resources) for carrying out the proposed project. An RFP may include a limitation on the number of pages for the abstract. If not, a good rule of thumb is no more than two pages.

Some RFPs may require a *letter of intent* that precedes the submission of a grant proposal. These can be challenging to write, as they are basically an abstract/executive summary of the proposal. Therefore, it is helpful to have a clear purpose, identified need, and some idea as to your strategy for addressing that need ahead of time. You should really have those things in mind anyway when conducting research for RFPs in order to be able to identify which agency missions and grant opportunities match your interests.

COMPONENT 2: PROBLEM STATEMENT

A problem statement describes the problem you are intending to solve by designing a project. The chance of getting funding depends on whether the problem you are intending to solve catches the interest of the funder. A problem statement is always included in a grant proposal whoever the funder is. The reason why any person or organization goes through the process of designing a project has a problem that needs to be solved at the center. Grant makers do not just give away their money unless the problem you are proposing to solve is of their interest.

KEY MESSAGE



When you write the problem statement, check the problem tree analysis in the previous chapter.

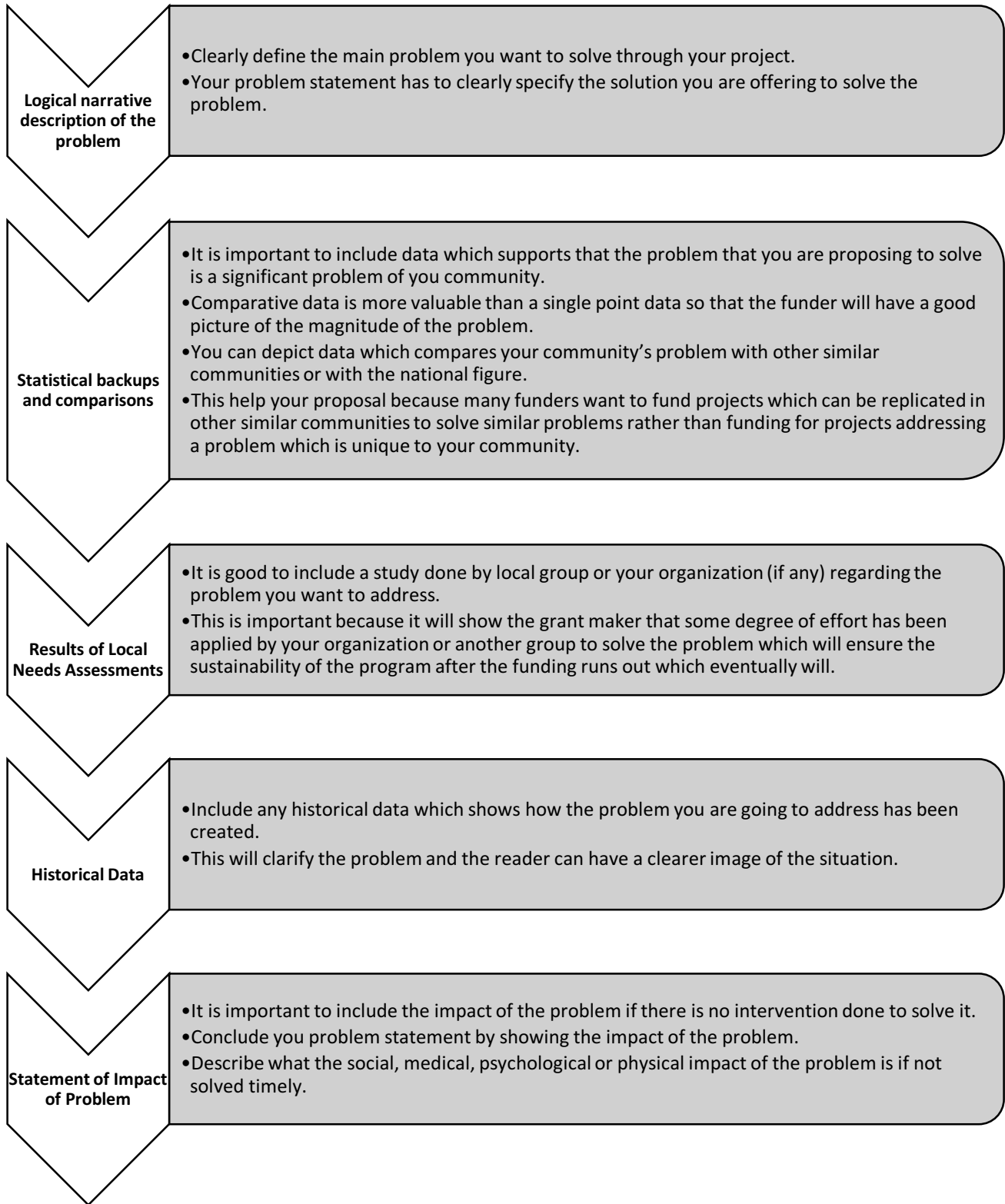


Figure 13: Elements of a problem statement

ACTIVITY 3.6. INDIVIDUAL EXERCISE



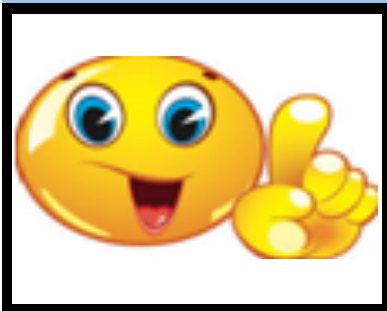
Write a statement of the problem by referring to the problem tree analysis you did in the previous chapter.

Time: 30 minutes

COMPONENT 3: PROJECT DESCRIPTION

Once you have captured the attention of the reviewers by clearly and effectively documenting the need for funding, you need to present the details of how you plan to implement your program. This section of your proposal should guide the reviewer step by step through all activities needed to accomplish your goal(s) in a way that will continue to engage the reviewer's interest. Furthermore, you will refer to it time and time again over the course of program implementation. Even if program staff changes over time, the project description should provide a road map for anyone to understand and follow the project implementation.

KEY MESSAGE



When you write the project description, refer to the objective tree analysis in the previous chapter.

The project description includes three main pieces of information:

1. Goals and objectives;
2. Methods or activities for addressing the identified problem or need;
3. A timeline chart for the completion of each activity.

1. Goals and Objectives

Definition and hierarchy for goals and objectives differ among different funding agencies. Therefore, it is important to check the approach of the target funding agency. Below, one goal and objective definition and hierarchy is presented as follows.

Goals and Objectives are a very important piece of your grant proposal. Goals are broad statements with a long-term, ideal outcome in mind. Most proposals do not have more than three goals.

Example: "Eliminate disparity among Medicaid enrollees' and privately insured consumers' use of prenatal care in Fertile County."

For each goal, you might develop numerous, corresponding *objectives*. Well-written objectives are:

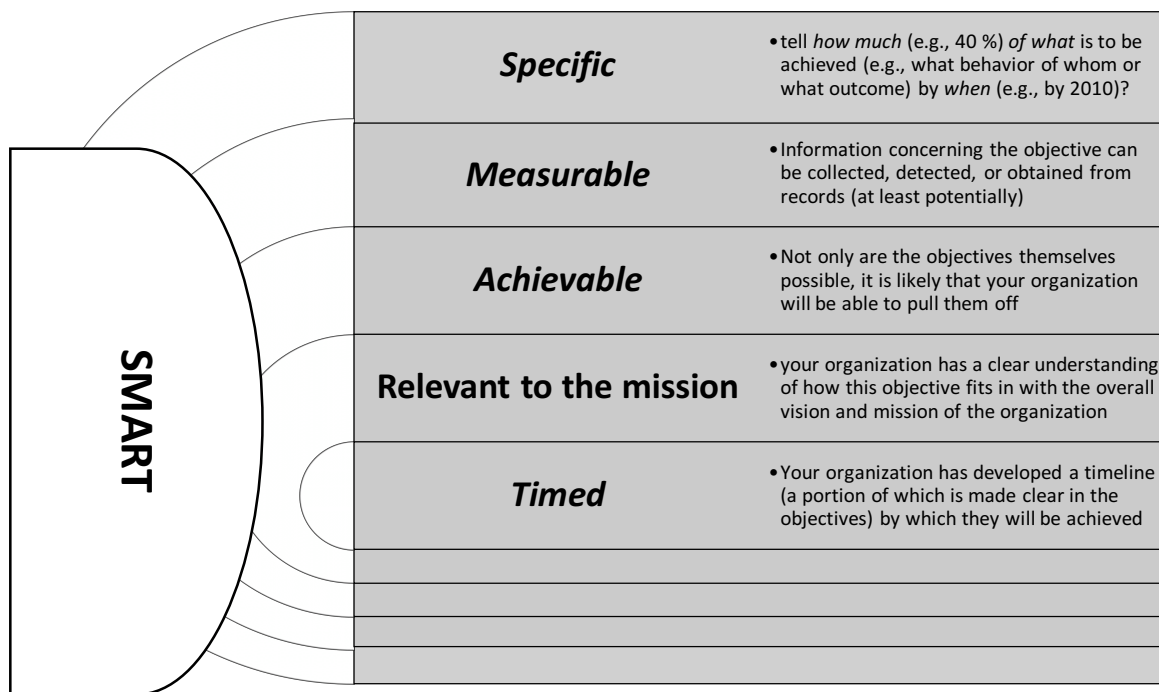


Figure 14: SMART approach to writing objectives

The objectives of a project should be as ambitious as possible: the proposal writing group should aim for significant improvements that are important to members of the community.

Example: "By June 2018, survey 50 postpartum community health insured and 50 privately insured clients prior to discharge from the hospital regarding why they did or did not access prenatal care services in the first trimester of pregnancy".

2. Methods or activities

You will have a sense of clarity and specificity after drafting your proposal objectives. The next step in the proposal writing process will be to break down each objective into a series of activities needed to achieve it. The methods section describes in detail how you propose to carry out your goals and objectives over the course of a project. The full and complete description of the project is critical to the interest of funders. When deciding on which project to fund, the funder wants to see whether the project is thought through and workable.

Example: "By June 2018, distribute 500 copies of the patient educational pamphlet 'Heart Disease Prevention' to men between the age of 30 and 50 in Coronary County."

In the methods/activities section you need to show reviewers that you have carefully considered the steps necessary for planning and implementing the project and how it will achieve the objective. Activities and other details to discuss might include:

- Will you be using an existing pamphlet? If yes, briefly describe it, the credibility of the organization that developed it and include a copy in your appendices.
- Do you need to develop the pamphlet? If yes, discuss who will be involved. An advisory board? Special committee? Consultants? Include their CVs in the appendices.
- Will the pamphlet be translated for bilingual distribution?
- How will you print, copy and market the pamphlet (if applicable)?

- How will you reach your target population? Via physicians' offices? If yes, include a discussion about how you plan to solicit and involve local physicians in your effort. If no, describe all venues for distribution (Libraries? Grocery stores? Health clubs? Barber shops?).
- How will you document how many pamphlets have been distributed, and which staff will be responsible for that?

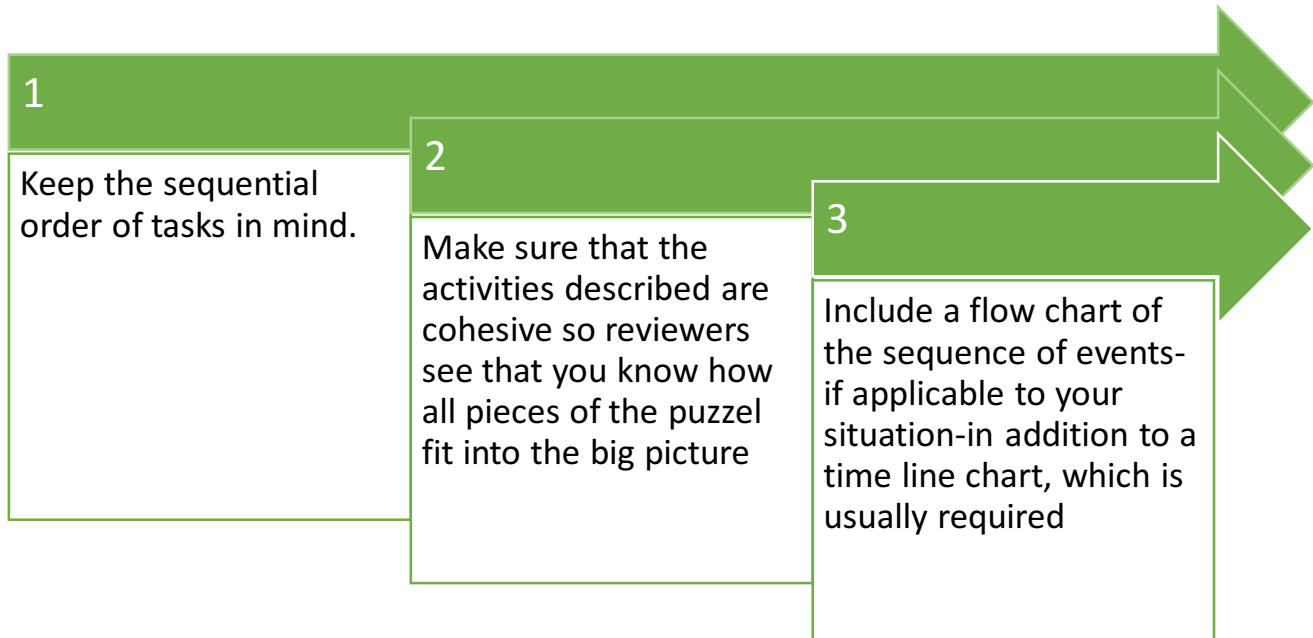


Figure 15: Tips for writing the Methods section

3. Timeline Chart

A commonly used tool is the timeline chart (“Gantt chart”). This chart is used to present a detailed list of all activities and their projected dates of completion. Activities are usually listed in sequential order. The timeline is meant to be used for planning purposes and may be revised over time. For example, some activities will be dependent upon the completion of prior activities: one cannot train staff members until the staff is hired; if the hiring process takes four months versus two, the training timeline will also need to be adjusted. It is fine to show multiple items with the same completion date. All activities in the timeline combined will shape your budget request. An elaborate timeline / work plan needs to be prepared for year 1. See Appendix B and C for a detailed annual work plan sample and example.

Activities	Year 1 OR (Jan. – March)	Year 2 OR (April – June)	Year 3 OR (July – Sept.)	Year 4 OR (Oct. – Dec.)
<u>Staffing</u> Recruit Hire Train	---x -----x	---x		
<u>Workshop</u> <u>Development</u> Secure site Develop agenda Invite speakers Prepare materials	-----x -----x	---x		
<u>Printed</u> <u>Materials</u> <u>Development</u> Hire graphics consultant Develop logo Design brochure Print brochure	-----x -----x	-----x -----x		
<u>Evaluation</u> Collect data Analyze data Write final report	---x	---x	---x	---x -----x -----x

Figure 16: Example of a timeline

ACTIVITY 3.7. INDIVIDUAL EXERCISE



Write a project description by referring to the problem tree analysis you did in the previous chapter.

Time: 30 minutes

COMPONENT 4: MONITORING AND EVALUATION (M&E) PLAN

KEY MESSAGES



Monitoring: is the ongoing collection of information about the activities and operation of a project. This information is used to determine what the project is actually doing and whether activities are being implemented as intended.

Evaluation: is the periodic collection of information about the activities, characteristics, and outcomes of projects in order to make judgments, improve effectiveness, and/or identify lessons learned.

M&E is conducted, because it leads to:

- More accountability;
- Program improvement;
- Knowledge development.

A monitoring and evaluation (M&E) plan is a document that helps to track and assess the results of the interventions throughout the life of a program/project. It is a living document that should be referred to and updated on a regular basis. While the specifics of each program's M&E plan will look different, they should all follow the same basic structure and include the same key elements.

An M&E plan will include some documents that may have been created during the program/project planning process and some that will need to be created new. For example, elements such as the logic model/logical framework, theory of change, and monitoring indicators may have already been developed with input from key stakeholders and/or the program/project donor. The M&E plan takes those documents and develops a further plan for their implementation.

It is important to develop an M&E plan before beginning any monitoring activities so that there is a clear plan for what questions about the program need to be answered. It will help program staff decide how they are going to collect data to track indicators, how monitoring data will be analyzed, and how the results of data collection will be disseminated both to the donor and internally among staff members for

program improvement. An M&E plan will help make sure data is being used efficiently to make programs as effective as possible and to be able to report on results at the end of the program.

The following 6 steps can be used to develop an M&E plan:

STEP 1	Identify program goals and objectives
STEP 2	Define indicators
STEP 3	Define data collection methods and timeline
STEP 4	Identify M&E roles and responsibilities
STEP 5	Create an analysis plan and reporting templates
STEP 6	Plan for dissemination and donor reporting

Step 1: Identify Program Goals and Objectives

The first step to creating an M&E plan is to identify the program goals and objectives. If the program already has a project design like, result framework, logic model or theory of change (Check the previous chapter), then the program goals are most likely already defined. However, if not, the M&E plan is a great place to start. Identify the program goals and objectives.

Step 2: Define Indicators

Program indicators should be a mix of progress indicators (i.e. those that measure progress or what is being done in the program) and outcome indicators (i.e. those that measure outcomes).

Process indicators track the progress of the program. They help to answer the question: “Are activities being implemented as planned?”. Some examples of process indicators are:

- Number of trainings held with health providers
- Number of outreach activities conducted at youth-friendly locations
- Number of condoms distributed at youth-friendly locations
- Percent of youth reached with condom use messages through the media

Outcome indicators track how successful program activities have been at achieving program objectives. They help to answer the question: “Have program activities made a difference?”. Some examples of outcome indicators are:

- Percent of youth using condoms during first intercourse
- Number and percent of trained health providers offering family planning services to youth
- Number and percent of new STI infections among youth.

Step 3: Define Data Collection Methods and Timeline

After creating monitoring indicators, it is time to decide on methods for gathering data and how often various data will be recorded to track indicators. This should be a conversation between program staff, stakeholders and donors. These methods will have important implications for what data collection methods will be used and how the results will be reported.

The source of monitoring data depends largely on what each indicator is trying to measure. The program will likely need multiple data sources to answer all of the programming questions. Below is a table that represents some examples of what data can be collected and how.

Information to be collected	Data source(s)
Implementation process and progress	Program-specific M&E tools
Service statistics	Facility logs, referral cards
Reach and success of the program intervention within audience subgroups or communities	Small surveys with primary audience(s), such as provider interviews or client exit interviews
The reach of media interventions involved in the program	Media ratings data, broadcaster logs, Google analytics, omnibus surveys
Reach and success of the program intervention at the population level	Nationally-representative surveys, Omnibus surveys, DHS data
Qualitative data about the outcomes of the intervention	Focus groups, in-depth interviews, listener/viewer group discussions, individual media diaries, case studies

Table 3: Example data sources for specific types of information within an M&E plan

Once it is determined how data will be collected, it is also necessary to decide how often it will be collected. This will be affected by donor requirements, available resources, and the timeline of the intervention. Some data will be continuously gathered by the program (such as the number of trainings), but these will be recorded every six months or once a year, depending on the M&E plan. Other types of data depend on outside sources, such as clinic and DHS data.

After all of these questions have been answered, a table like the one below can be made to include in the M&E plan. This table can be printed out and all staff working on the program can refer to it so that everyone knows what data is needed and when.

Indicator	Data source(s)	Timing
Number of trainings held with health providers	Training attendance sheets	Every 6 months
Number of outreach activities conducted at youth-friendly locations	Activity sheet	Every 6 months
Number of condoms distributed at youth-friendly locations	Condom distribution sheet	Every 6 months
Percent of youth receiving condom use messages through the media	Population-based surveys	Annually
Percent of adolescents reporting condom use during first intercourse	DHS or other population-based survey	Annually
Number and percent of trained health providers offering family planning services to adolescents	Facility logs	Every 6 months
Number and percent of new STI infections among adolescents	DHS or other population-based survey	Annually

Table 4: Example indicators table to track which indicators will be used within an M&E plan

Step 4: Identify M&E Roles and Responsibilities

It is important to decide from the early planning stages who is responsible for collecting the data for each indicator. This will probably be a mix of M&E staff, research staff, and program staff. Everyone will need to work together to get data collected accurately and in a timely fashion.

Data management roles should be decided with input from all team members so everyone is on the same page and knows which indicators they are assigned. This will ensure that there will not be any surprises when it is time for reporting.

An easy way to put this into the M&E plan is to expand the indicators table with additional columns for who is responsible for each indicator, as shown below.

Indicator	Data source(s)	Timing	Data manager
Number of trainings held with health providers	Training attendance sheets	Every 6 months	Activity manager
Number of outreach activities conducted at youth-friendly locations	Activity sheet	Every 6 months	Activity manager
Number of condoms distributed at youth-friendly locations	Condom distribution sheet	Every 6 months	Activity manager
Percent of youth receiving condom use messages through the media	Population-based surveys	Annually	Research assistant
Percent of adolescents reporting condom use during first intercourse	DHS or other population-based survey	Annually	Research assistant
Number and percent of trained health providers offering family planning services to adolescents	Facility logs	Every 6 months	Field M&E officer
Number and percent of new STI infections among adolescents	DHS or other population-based survey	Annually	Research assistant

Table 5: Example table to track who is responsible for which indicators

Step 5: Create an Analysis Plan and Reporting Templates

Once all of the data have been collected, someone will need to compile and analyze it to fill in a results table for internal review and external reporting. This is likely to be an in-house M&E manager or research assistant for the program.

The M&E plan should include a section with details about what data will be analyzed and how the results will be presented. Does research staff need to perform any statistical tests to get the needed answers? If so, what tests are they and what data will be used in them? What software program will be used to analyze data and make reporting tables? Excel? SPSS?

In addition, it is important to include a blank table for indicator reporting in the plan. These tables should outline the indicators, data, and time period of reporting. These can also include the indicator target and how far the program has progressed towards that target. An example of a reporting table can be found below.

Indicator	Baseline	Year 1	Life time target	% of target achieved
Number of trainings held with health providers	0	5	10	50%
Number of outreach activities conducted at youth-friendly locations	0	2	6	33%
Number of condoms distributed at youth-friendly locations	0	25,000	50,000	50%
Percent of youth receiving condom use messages through the media	5%	35%	75	47%
Percent of adolescents reporting condom use during first intercourse	20%	30%	80	38%
Number and percent of trained health providers offering family planning services to adolescents	20	106	250	80%
Number and percent of new STI infections among adolescents	11000 22%	10,000 20%	10% reduction 5 years	20%

Table 6: Example reporting table

Step 6: Plan for Dissemination and Donor Reporting

The last element of the M&E plan describes how and to whom data will be disseminated. Data for data's sake should not be the ultimate goal of M&E efforts. Data should always be collected for particular purposes.

Consider the following:

- How will M&E data be used to inform staff and stakeholders about the success and progress of the program?
- How will it be used to help staff make modifications and course corrections, as necessary?
- How will the data be used to move the field forward and make program practices more effective?

The M&E plan should include plans for internal dissemination among the program team, as well as wider dissemination among stakeholders and donors. For example, a program team may want to review data on a monthly basis to make programmatic decisions and develop future work plans, while meetings with the donor to review data and program progress might occur quarterly or annually. Dissemination of printed or digital materials might occur at more frequent intervals. These options should be discussed with stakeholders and your team to determine reasonable expectations for data review and to develop plans for dissemination early in the program. If these plans are in place from the beginning and become routine for the project, meetings and other kinds of periodic review have a much better chance of being productive.

Summary of M&E Plan

After following these 6 steps, the outline of the M&E plan should look like this:

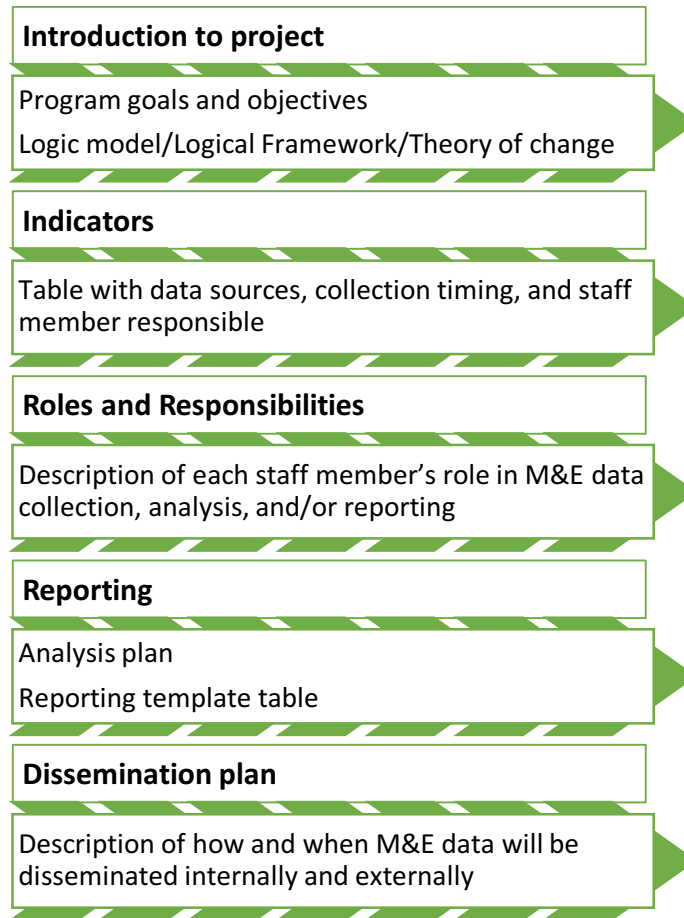


Figure 17: Outline M&E plan

Tips & Recommendations

- It is a good idea to try to avoid over-promising what data can be collected. It is better to collect fewer data well than a lot of data poorly.
- It is important for program staff to take a good look at the staff time and resource costs of data collection to see what is reasonable.

N.B:

- Process indicators track how the implementation of the program is progressing. They help to answer the question, “Are activities being implemented as planned?”
- Outcome indicators track how successful program activities have been at achieving program goals. They help to answer the question, “Have program activities made a difference?”

ACTIVITY 3.8. INDIVIDUAL EXERCISE



Prepare an M&E plan following the steps discussed in the section above.

Time: 45 minutes

3.2. Budget Preparation and Budget Justification

Once you have drafted the detailed information for your goals and objectives, methods, and M&E plan, you will have the foundation for your budget request. You will now need to assign corresponding dollar amounts to staff positions and activities.

BUDGET PREPARATION

Common budget line items include (*details for each are provided below*):

- **Personnel**—wages for project personnel at their annual salary times their percentage involvement in the project, or at their hourly rate times the number of hours dedicated to the project.

Staff salaries are listed in a budget as FTEs, or "Full Time Equivalents." A person working a 40-hour week will be listed at 1.00 FTE, and the actual amount for salary requested in the budget will be 100% of the proposed salary for that position. A person working 20 hours a week will be listed at 0.5 FTE, and the actual amount for salary requested in the budget will be 50% of the proposed salary for that position.

Staff Position	Full Time Salary	FTE	Year 1 Budget Request
Project Director	\$55,000	1.0	\$55,000
Project Assistant	\$35,000	1.0	\$35,000
Administrative Assistant	\$25,000	0.5	\$12,500

Table 7: Example budget request for certain staff positions



- **Fringe**—includes worker’s compensation insurance, health insurance, retirement benefits, and any other cash costs incurred by an employer because of a person’s employment—usually expressed as a percentage of wages.
- **Travel**—lodging, mileage, airline tickets, meals, taxi, shuttle, and lease cars.
- **Contractual**—any contract services such as leases, rents, consulting costs, contractors, software licenses, and training.
- **Construction or renovation**—actual material costs for the construction or renovation—architectural or contractor costs will normally appear under the contractual line item.
- **Materials**- this includes Reference materials, training materials, software, and books.
- **Supplies**—postage, copy paper, pens, CDs, pencils, and paper clips.
- **Equipment**—items with a longer life span than materials and supplies, usually three years minimum, such as furniture, computers, copy machines, fax machines, laboratory equipment, and telephone systems.
- **Overhead, indirect costs**- are defined as an attempt to compensate the organization for the cost of housing a project. Indirect costs may or may not be provided by your funding agency. They are often allocated as a fixed percentage of your direct costs.
- **An in kind** line item will not add any costs to the project because it is paid for or absorbed by the agency applying for the grant. In kind services might include paying for rent (perhaps a separate grant within the agency already covers this, so the agency can afford to not request rent as a line item of the budget in the new grant proposal). Or, perhaps clerical / administrative staff is shared across multiple grants in-house, so a proportion of an administrative staff person's time will be listed as "in kind" in the budget line items.

NB: The above listed budget line items are the ideal or the standardized line items. You can avoid some of the line items so that to substitute them with the appropriate ones as it fits for your project proposal budget request.

Formatting the Budget

Grant makers have their own budget formats and provide their formats to fill the blanks. The budget formats generally are similar in structure. See the generic budget format below.

No	Line item Description	Grant request	Matching funds*		Match total	Project totals
			Applicant	Partner		
1	Personnel					
2	Fringe					
3	Travel					
4	Equipment					
5	Materials and Supplies					
6	Contractual					
7	Capital Expense					
8	Other					
9	Total Direct Costs					
10	Indirect Costs					
11	Total Costs					

Figure 18: Generic budget format

For example, if you want to request budget for a line item equipment and you like to contribute 10% of the cost and then you have another partner who would like to contribute 30% of the cost, then your budget request for the funder should be 60% of the total cost. Let's say this equipment costs 100000 USD, the budget form will be as follows:

No	Line item Description	Grant request	Matching funds*		Match total	Project totals
			Applicant	Partner		
1	Equipment	60,000	10,000	30,000	40,000	100,000

Figure 19: Example budget for an equipment line item

* The terms "cost sharing," "matching," and "in-kind" refer to that portion of the total project costs not borne by the sponsor/grant maker. The organization generally refers to cost sharing when looking at labor items.

BUDGET JUSTIFICATION

In the Budget Justification, be sure to clearly describe the need for each line item total requested. In one or two sentences per budget line item, show the reviewer exactly how you arrived at the total for an item.

Budget Justification Example

Your "travel" line item is \$2,115. An appropriate justification would be:

The Project Director will present project findings at a total of three national conferences in year two of the project. The airfare will average \$400 per trip (total: $400 \times 3 = 1,200$); hotels will average \$100 per night (total: $6 \times 200 = 600$); and the per diem (allowance for meals) will be \$35 (total: $9 \times 35 = 315$). For three trips averaging three days and two nights each, the total request for travel is \$2,115

Budget Tips

1. Make sure that your budget does not exceed the maximum amount stated in the request for proposal (RFP).
2. Make sure that the numbers in the proposal narrative and budget justification text match those in the line item budget.
3. If you are required to submit budget projections for multiple years, remember to include a cost of living raise in staff salaries and allow for inflation among supplies, utilities, etc.
4. If you are inexperienced with a proposed activity (such as conducting focus groups), talk with someone who has done this to gain insight as to how much to budget for. You may learn about costs that you did not anticipate. It is better to discover those before you submit your grant proposal than after you when are working within a set budget. In the latter case, you might be forced to reduce the total number of activities or exclude some altogether.

Example: Budgeting for a Proposed Activity

You have proposed to conduct three focus groups with low-income parents of children with special health care needs (ages 0 - 3) in your county over the next 6 months. What things might you need to consider as you calculate your budget request?

- a. How will you solicit participation in the focus groups? What printing, outreach, or marketing costs will you incur?
- b. How many parents will participate in each focus group?
- c. Will parents need assistance with transportation to the focus group site?
- d. Will you offer an incentive (e.g., money or on-site child care during the sessions) for focus group participation?
- e. Will you serve food / beverages during the focus group session?
- f. Will you moderate focus groups, or pay a professional social researcher?
- g. Will you need a bi-lingual moderator? If yes, will this be an additional expense or do you have existing staff resources?
- h. Who will record / transcribe the focus groups? Will you need to pay for this service?

ACTIVITY 3.9. INDIVIDUAL EXERCISE

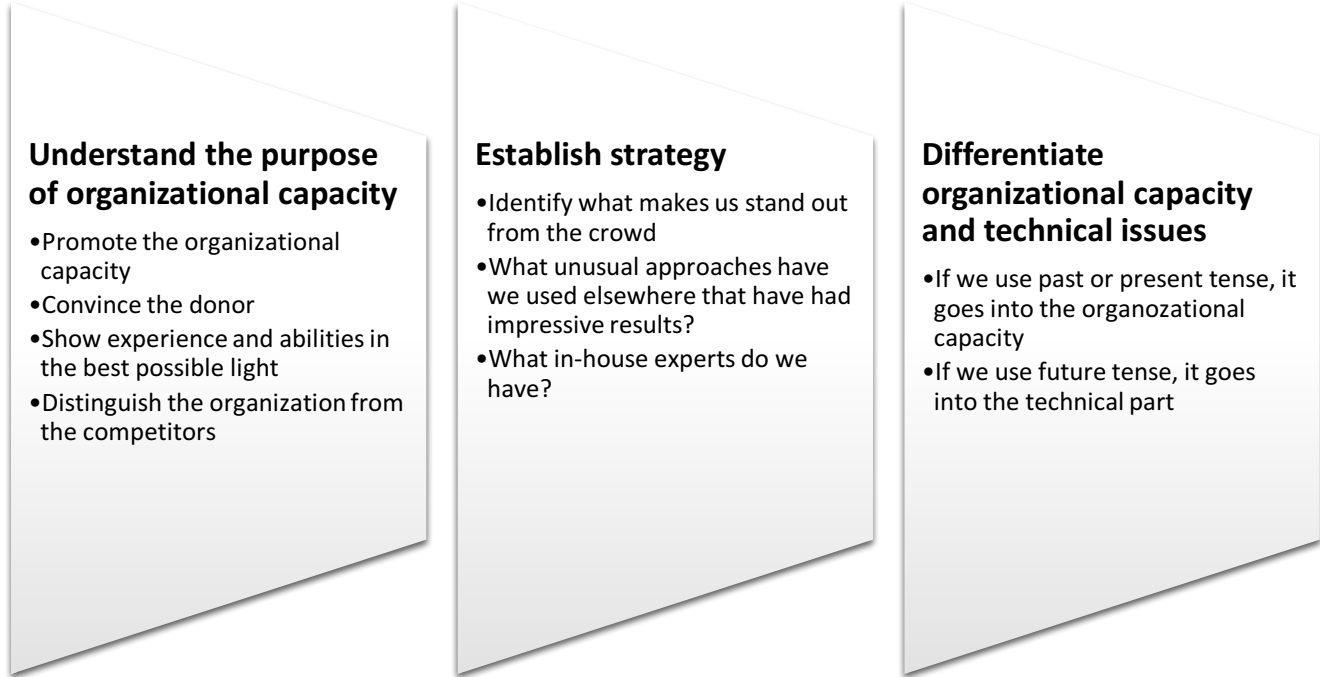
Write the budget break down and budget narrative in line with your project description that you developed previously.

Time: 20 minutes.



ORGANIZATIONAL CAPACITY

Organizational capacity is a key component of the proposal. You should consider the following points when preparing organizational capacity:



If the RFP asks for a separate management section, it should include a discussion of the project management structure, relationships between partners and subcontractors and logistical considerations. If such a separate management section is required, you do no longer have to deal with these issues in the organizational capacity section.

ACTIVITY 3.10. INDIVIDUAL EXERCISE



Write your organization capability statement by referring to your organizational source document.

Time: 20 minutes.

FUTURE FUNDING PLANS / PLANS FOR SUSTAINABILITY

Funding agencies often want to see a long-term plan for the self-sustainability of a project. This may be because funding will only be available for a couple of years. Some programs require a match of funding from the beginning. For example, for every four dollars awarded, you may be required to contribute matching funds of two dollars. Funders will want to know how grantees' matching funds will be provided and sustained.

Some initiatives will need to be in place for years to come if they are to have a long-term impact on outcomes such as health status indicators. For example, you cannot expect to get 25% of smokers to quit smoking within a two-year grant cycle, but perhaps after a decade of persistent programming, smoking rates will drop substantially. Therefore, if a foundation or other agency can only afford to fund this particular issue for two years, it may want to know how you plan to continue tobacco use prevention efforts in your community over the *long* term.

While you cannot guarantee that your proposed program will be self-sustainable, it is important to make your best case for sustainability and describe a plan. For example:

- Will you be able to charge a fee for services provided?
- Can you market and sell any materials developed via the proposed funding?
- Will you institute membership dues (when applicable)?
- Can you develop *new* grants or contracts for funding?

If the answers to these questions are "yes", discuss the strategy and time line for establishing the revenue-generating component of the project. As a rule of thumb, most projects rely entirely on the funding source in year one, as this is the year that planning and implementation activities are accomplished. However, by year two, you may be able to include some revenue-generating activities in your timeline.

ACTIVITY 3.11. INDIVIDUAL EXERCISE



Write the sustainability plan of your project.

Time: 15 minutes.

APPENDICES

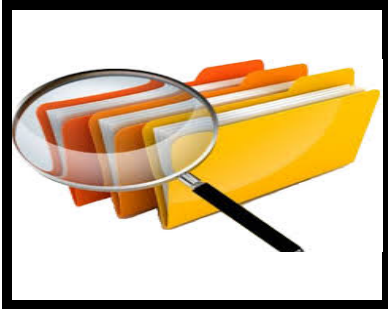
Appendices are supplemental materials that do not belong in the body of the proposal, but nevertheless are important pieces of information. These may include:

Possible appendices	A marketing or dissemination plan schematic
	A project staffing flow chart
	A time line chart of proposed activities (you might include this in the body of the proposal instead of or in addition to here)
	An evaluation instrument (e.g., a survey that will be used)
	Any <i>existing</i> educational or printed materials to be used
	Bio sketches or curriculum vitae of key project personnel, including Advisory Board members and any consultants already identified
	Letters of support and/or participation

One-page letters of support / participation should be submitted on official letterhead from each agency that you have proposed as a collaborator. Letters should be signed by an Executive Director or Chief Executive Officer of the collaborating or supporting agency. You may want to draft the letters for each collaborator (in fact, they may request that you do this), but make sure that each letter is unique to your working relationship and shared interests. Highlight the significance of the proposed collaborative relationship in the context of proposal goals and objectives. In addition, summarize your agency's and

your collaborating agency's capacity and strengths for addressing the problem or need identified in the proposal.

ACTIVITY 3.12. INDIVIDUAL EXERCISE



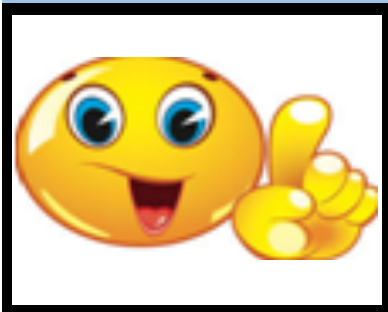
Identify and list all possible appendices.

Time: 10 minutes.

ORGANIZE YOUR DRAFT GRANT PROPOSAL

Now it is time to sit down and actually organize the draft the proposal. Clear your calendar: this is a time-consuming process that will require serious concentration. Follow the summary steps and the proposal outline, as revised, as closely as possible.

KEY MESSAGE



If the organization wants the grant maker to read something in the proposal:

- **Put it in a box,**
- **Make it bold it**
- **Put bullets in front of it**

SUMMARY OF STEPS OF PROPOSAL WRITING

Item	Steps
Preliminary Research	<ul style="list-style-type: none"> ▪ Make a list of projects/proposals to research. ▪ Read and interpret the RFP. ▪ Read other organizations capacity statements.
Make an Outline	<ul style="list-style-type: none"> • Check the instructions of the RFP/RFA (e.g. if the RFP has five bullets, you can probably think in terms of five subsections (A-E)). • Check the scoring criteria. • Have knowledge of the technical ambitions of the project. • Draft a preliminary outline. • Use the RFP's terminology. • Discuss the draft outline.
Getting the Information Together	<ul style="list-style-type: none"> ▪ Assemble several chunks of information. ▪ Fit those information into the outline. ▪ Organize the proposal information. ▪ Discuss with the proposal writing team, collaborators/sub recipients and the head of the organization. ▪ Start thinking about graphics of the document.
Write the Section	<ul style="list-style-type: none"> • Be original and try to keep the attention of the reader (e.g. what do we bring to this project that no one else can claim? Put them all up front). ▪ Don't claim anything that you can't back up. ▪ Do not worry about using information from the same project in several different places, as long as you do not keep repeating yourself. ▪ Spell out acronyms; do not use short names at the first insight. ▪ Stress the relationship between past experiences and the present project. ▪ Do not just cut and paste material from other proposals. ▪ Review the technical and make it fit. ▪ Keep your statements positive and do not emphasize limited experience: do not use words like "Well, actually, we're no experts...". ▪ Verify your research with knowledgeable people. ▪ Including information not requested by the RFP: it is a good idea to mention that, although the information is not required by the

RFP, we think it is an important aspect of our experience that will round out our ability to handle the project.

- Road maps and sign posts: let the reader know what section of the RFP you're responding to.
- Page limits.

Making Your Section Interesting

- Avoid stilted text (i.e. using unnecessary exaggeration or jargon).
- Stress accomplishments and put the results in human terms (e.g. farmer incomes increased by 38% on average).
- Include success stories.
- Quotations: add credibility and interest, especially if they come from somebody besides partners.
- Graphics.
- Mechanics: have a "resource" document and a "working draft" that you keep active, and then work back and forth between them.

Working with the Team

- Chance to work with people in new ways.
- Let you acquire new skills.
- All team members are focused on one goal: winning the contract, so do not be discouraged if they put ugly red marks all over your beautiful section

Figure 20: Summary of steps of proposal writing

ACTIVITY 3.13. INDIVIDUAL EXERCISE



- Discuss the above listed summary.
- Organize different section of the proposal done by your team.
- Format the draft.
- Write the front matters: Cover letter, Title pages, and Executive Summary.

Time: 40 minutes

PLAN/DESIGN EXHIBITS, GRAPHICS, ANNEXES AND EDITIONS

As the proposal is being drafted (or earlier, if possible), you must plan and roughly sketch exhibits, graphics, and annexes you intend to use. If you do decide to include an exhibit, make sure to:

- 1) Reference it in the text,
- 2) Explain its significance,
- 3) Add it to a sequentially numbered list of exhibits and graphics, and
- 4) Prepare a clear copy of the exhibit final production.

Once the draft is finalized, the draft is submitted to the editor for editing and production. The writer should be available to confer with the editor to answer questions about the text. The draft proposal editor can be a professional editor/proof reader or a colleague who have the technical expertise on the project to look over the overall flow and manage editorial things of the document with a fresh view.

3.3. Submitting and follow up of a grant proposal

Many donors have submission policies. Make sure you are aware of these policies as well as the deadline date for submission of the grant application. Ensure that the donor agency confirms that your grant application has been submitted correctly.

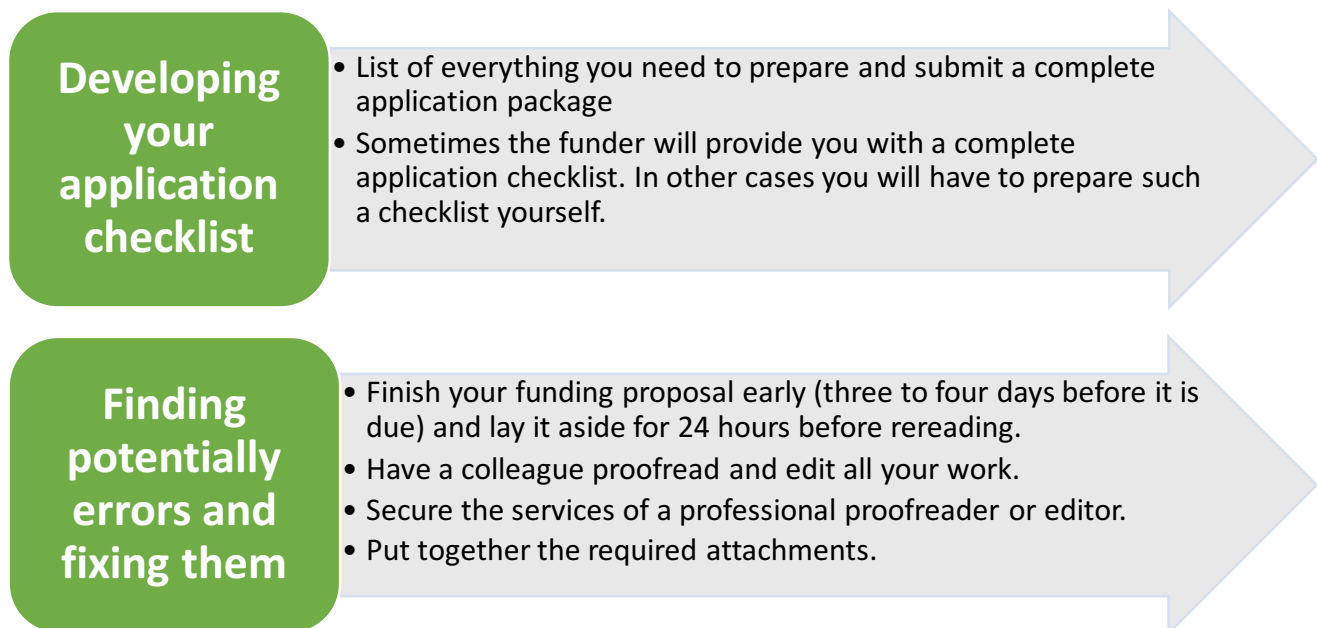


Figure 21: Final checks before submission

If a foundation or corporate funding source sets a deadline, your application must reach the funding source by that time. **Funding agencies make no exceptions for late grant applications.** After applying for a grant, you should follow for the announcement of the result.

Once a grant application is sent, make sure to take the following actions:

Storing grant application files

- Properly storing of the submitted application would be helpful when you are required to submit a clarification or a missing attachment.
- Online copies of files are the best way to access the files 24 hours a day. Dropbox, Cloud Drive, Sky Drive and Google Drive are possible storage drives.

Sharing documents and information with stakeholders

- Stakeholders like staffs, volunteers, community partners, and other interested parties would help the organization in the proposal development part and provide the information for the statement of need.
- After the grant request is finalized, you need to bring the stakeholders back together for a debriefing on what have been done and what is expected.

Keeping in touch with funders

- Post submission protocol of when and whom to call to check on your application's status and when to just chill out and wait for notification rules are different based on the type of funding source.

Figure 22: Actions to take after grant application has been submitted

Some foundation and corporate funders use their websites to post information on procedures for grant proposal awards and rejections. If you cannot locate the funder's guidelines, it is okay to e-mail or call the funder for more information on your funding application's status. However, wait three to six months after your submission date to make this call or to send an e-mail. The board of directors of these private sector funders often do not meet monthly and often have a lot on the agenda to cover when they do meet.

TRANSITION TO POST AWARD

The transition to post-award deals with the award decision of the grant request until the post-notification tasks. The award decision of grant application has two outcomes in most cases. The first and the desired one is a win and a grant is awarded. The second one is a rejection. Both outcomes should be dealt with carefully when moving forward.

Dealing with unsuccessful grant

Failed efforts in the grant writing field are upsetting, but remember that they do not necessarily signal the end of your grant application. After all, just because a grant proposal is not funded does not mean it does not have some useful parts that can still be used for other purposes. This section helps you look at why your application failed and then plan how to fix it.

Step 1: Requesting and reviewing peer comments

If your grant application was rejected by a funding agency, you may request the grant reviewer's comments. Funding agencies typically send a summary sheet with the section scores and an overview of strengths and weaknesses for each application section. If you receive a rejection notice from a funding agency that does not include such a summary, or if the summary does not give you enough information, you may write a letter requesting the peer reviewers' comments (most grant funder uses three peer reviewers).

Step 2: Acting fast to reuse a failed grant application

After you receive the peer review comments for a rejected grant application, use them to find out what your peer reviewers indicated as weak within the application's narrative sections. Correct the weaknesses, and if parts of your sections were confusing or incomplete, rewrite them. If other people helped you put the application narrative together, make sure to reconvene the grant writing team and work on a revised grant application together.

During this revision, consider scaling down or up your project design and project budget in order to make it fit with support from other funders. Base your adjustments on each funding source's limitations, which you uncover through research.

REGISTRATIONS NEEDED TO SUBMIT APPLICATIONS TO NIH AND PUBLIC HEALTH INSTITUTIONS IN USA

In order to enable participants to register for and submit project proposals electronically/web-based, the USG owned web, grants.gov, has been selected for this training as practice. Its registration is complex and requires accurate information throughout the process. Once you succeed in submitting your proposal via grants.gov, you should feel confident that you can manage any other web-based submissions.

Hence, in order to apply to US National Institute of Health (NIH) and Public Health Institutions grants, you must complete a number of registrations. These registrations are used to verify the eligibility of your institution, validate for legal representation (as any organization that accepts a federal grant enters into a binding and lawful contract), tracking and accounting of federal budgets, and reporting purposes. Please note that “federal” and “federal grant” refers to the USG and its grants, unless specified otherwise.

You have successfully registered when you receive a confirmation e-mail message from grants.gov that is issued to submitters (you) upon receipt of application (including proposal documents). In order to get the application package from grants.gov, there are a number of things you have to do. The grants.gov website’s main purpose is to announce request for applications (RFAs). Read Annex— which explains the full registration process and how to proceed.

Note:

- Register early! Registration is a multi-step process that can take 6-8 weeks to complete.
- All registrations must be completed and active before the time of submission.
- The registration process is not sequential. As soon as an organization has obtained its DUNS number, it can begin registering with SAM and then Grants.gov and eRA Commons.

DUNS Number

The Data Universal Number System (DUNS) number is a unique nine-character number that identifies your organization. The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS numbers identify your organization. If requested over the phone, DUNS is provided immediately. Webform requests take 1 to 2 business days.

NATO Commercial & Government Entity Code (NCAGE)

The CAGE code provides a standardized method of identifying a given facility at a specific location. CAGE codes for entities located outside the United States are called NATO Commercial and Government Entity (NCAGE) codes. NCAGE codes are assigned internationally as part of the NATO Codification System (NCS), and are required for all foreign entities or the registration will be considered incomplete. *Note: NCAGE is required for all foreign entities or the registration will be considered incomplete.*

Instructions for obtaining an NCAGE Code may be found at:

http://www.cdc.gov/od/pgo/funding/NATO_Commercial_and_Governmental_Entity_12-18-06.doc.

System for Award Management (SAM)

The **System for Award Management (SAM)** is a Web-enabled government wide application that collects, validates, stores and disseminates business information about the federal government's trading partners in support of the contract award, grants and the electronic payment processes. Registering with the SAM is required for organizations to use Grants.gov. Registering with the SAM takes three to five business days or up to two weeks. To register go to www.sam.gov

Designate an [E-Biz POC Registration](#)

When your organization registers with SAM, you must designate an E-Business Point of Contact (E-Biz POC). The E-Biz POC uses the MPIN (Marketing Personal Identification Number) given by SAM to login to Grants.gov and to designate which staff members from your organization are allowed to submit applications electronically through Grants.gov. Staff members from your organization designated to submit applications are called Authorized Organization Representatives (AOR).

[Create a Username and Password](#)

To become an Authorized Organization Representative (AOR) you must create a profile. You will then create a username and password. You will need to know your organization's DUNS number to complete this process. You will be authorized to submit grant applications on behalf of your organization after your organization's E-Business Point of Contact (E-Biz POC) has assigned you AOR rights. Creating username and password will take only a day.

AOR Authorization

When an AOR registers with Grants.gov, your organization's E-Biz POC will receive an email notification. Your E-Biz POC must then login to Grants.gov (using the organization's DUNS number for the username and the "MPIN" password obtained and approve the AOR, thereby giving permission to submit applications. Only the E-Biz POC can approve AORs. This allows your organization to authorize specific staff members to submit grants. This can be immediately, but it depends on how long it takes the E-Biz POC to login and approve the AOR.

Track AOR Status

AORs can track their status at any time by clicking on the Applicant Login link on the home page under "Quick Links" using their username and password to check if they have been approved. To verify that your organization's E-Biz POC has approved you as an AOR. You cannot apply for grants without approval. Once you are authorized by your E-Biz POC you have completed the Organization Registration Process. Logging in as an applicant is instantaneous. The approval process to become an AOR depends on how long it takes the E-Biz POC to login and approve your AOR status.

You are now ready to [Find](#) and [Apply](#) for grant opportunities.

eRA Commons

eRA Commons registration is required to submit projects activity progress and financial reports.

Complete the online Institution Registration Form at

<https://public.era.nih.gov/commons/public/registration/registrationInstructions.jsp>

More information: http://era.nih.gov/commons/faq_commons.cfm#I12

Where to Find Help

- NCAGE: Phone: 269-961-7766, http://www.dlis.dla.mil/Forms/Form_AC135.asp
- SAM: Federal Service Desk: <https://www.fsd.gov>
- D-U-N-S Number: govt@dnb.com
- Grants.gov: www.grants.gov
- eRA Commons: Web site: <https://public.era.nih.gov/commons/>

CHAPTER SUMMARY

- The following are preparation phases before starting to write the proposal:
 - Organizing the proposal development team.
 - Developing calendar.
 - Prepare source documents.
 - Preparing an outline.
- The following are major proposals components addressed in every proposal:
 - Front matter: Cover letter, title page and executive summary
 - Problem statement
 - Project description
 - Monitoring and Evaluation (M&E) plan
 - Budget narrative and justification
 - Organizational capacity statement
 - Sustainability plan
 - Appendices
- The completed proposal should be submitted timely and followed based on follow up recommendations provided by the grant makers.
- The award decision of grant application has two outcomes: an award or a rejection. Both outcomes should be dealt carefully to move forward.
- In case of successful grants, see the next chapter on how to manage a grant.



Chapter Four: Grant Management

Time allocated:	7 hours
Chapter description:	This chapter describes how to manage a grant after it has been awarded.
General Objective:	At the end of this chapter, trainee will explain how to manage grants for meeting applicable laws throughout the grant cycle.
Specific Objectives:	<p>At the end of this chapter participant will be able to:</p> <ul style="list-style-type: none"> • Explain Pre-implementation activities • Explain Grant Financial Management • Identify key Cost Principles • Explain Audit Requirement • Identify standard elements of regulatory compliance • Describe grant closeout procedures • Identify strategies that maintain relationships with donor

CHAPTER OUTLINE

- 4.1. Effective grant management
- 4.2. Pre-implementation preparation
- 4.3. Grant financial management
- 4.4. Budget management
- 4.5. Procurement standards
- 4.6. Procurement management standards
- 4.7. Grant monitoring
- 4.8. Cost principles
- 4.9. Audit
- 4.10. Compliance to award requirements
- 4.11. Grant closeout procedures
- 4.12. Donor relationship management

4.1. Effective Grant Management

It is critical that a grantee exercises effective grants management strategies for a variety of reasons. Most important is that a grantee (i.e. organization that accepts grant) can lose funding during the implementation process of a project if it is not effectively managing the grant.

Grantees need to fully understand the relationship that they are entering into when they sign the award agreement. In addition to this relationship with the grantor, grantees who accept grant awards are entering into a legal contract with them. In exchange for financial support (the grant award), grantees are promising that they will honor the intent of the project and implement it to the best of their ability as outlined in the proposal that was submitted.

They will work towards achieving the objectives and goals as outlined, and they will conduct an evaluation to determine whether they successfully did so. In addition, they will spend the award funds as delineated in the line items listed in the budget. If a grantee chooses not to work toward the objectives, evaluating their success and spending the money appropriately, it can be considered a breach of contract. In that case, grantors can request funds to be returned or they can stop the funding at any point during the project implementation.

ACTIVITY 4.1. GROUP DISCUSSION



1. Have you ever won any grant?
2. How did you manage it

Time: 10 minutes

4.2. Pre-implementation Preparation

When the word finally reaches you that your grant proposal has been selected for funding, get ready to hunker down and begin the post-award process. First, you need to let the granting agency know that

you accept the money. Next, you need to know how to report the opportunity to your stakeholders and set up a plan for managing the money.

Once the funding is secured and an agreement is signed, grants are disbursed to get the project started and running. At this stage, activities of the project are actually carried out, and funds are disbursed to facilitate the activities. The management should ensure that the project is carried out according to the design. Below are major activities that need to be done during pre-implementation preparation.

a. Accepting The Award

During the post-award process, you must inform the funding source that you accept its offer of funding before you can share the good news with the world.

b. Review the Grant Agreement

Review the grant activities, budget, and terms and conditions of the agreement. It is very important to understand the following crucial elements of the grant agreement

- Donor/Prime Recipient/Sub Recipient
- Project Title
- Key Person
- Award number
- Project Period/Start and End Date
- Award Amount
- Standard Provision/Rules and Regulations
- Scope of Work
- Budget
- Annexes

c. In-House Orientation on the Newly Awarded Grant

The grant management unit must organize an orientation session on the newly awarded grant for management, concerned directorates (such as program, finance, human resources, procurement, and internal audit) and other stakeholders.

d. Sharing Grant Documents and Communicate Agreement Terms

For each grant, the grant management unit should maintain the original of the grant agreement and a copy should be shared with concerned directorates and other stakeholders.

e. Establish and Maintain Separate File For Each Grant

All documentation related to a particular grant should be filed together for easy reference. A separate file must be maintained for each grant.

f. Maintain Grant Data Tracking

Grant data tracking is a mechanism where the Grants Officer or Team Leader summarizes the most important information regarding each individual grant. The grant tracking sheet should have this information for more than one grant. It helps to have the compiled information in case an officer is responsible for more than one grant.

g. Start-up Workshop/Kick off Meeting

Up on receiving a signed grant agreement, the grant manager or program manager must work on organizing a startup workshop to orient the stakeholders about the new grant and its management requirement.

h. Work Plan Preparation

A detailed work plan is a management tool, which provides a framework for planning the work to be carried out in a grant management, and also serves as a guide during implementation. It is also used by funding agencies as a document to justify the release of funds. Based on the detailed work plan corresponding cash flow forecasts must be prepared.

i. Fund/Income Collection from Donors

Development partners use different requirements and methods to transfer fund. The method of transfer for a particular fund will be stated in the grant agreement. Generally, the Grants Officer prepares the disbursement request as per the agreed up-on format and sends to the funder to effect disbursement. The cash request should be explicit in mentioning the bank account details where the disbursement will be transferred. The most common fund transfer types are:

- i. **Direct payment:** As part of the agreement, the development partner directly effects payment to third party on behalf of the recipient.

- ii. **Advance payment:** As per the agreed program activities, the donor transfers fund to the recipient. The recipient is later expected to provide financial report to account for the transferred fund.
- iii. **Reimbursement of expenditure:** As per the agreed work plan, the recipient carries out program activities using its own resources and a claim for reimbursement of the expenditures will be filed with the development partner on a specified time.

4.3. Grant Financial Management

ACTIVITY 4.2. GROUP DISCUSSION



1. What were the challenges your organization faced while managing grant finance?
2. How did your organization address it?

Time: 15 minutes

Financial management is the process of **planning, organizing, controlling and monitoring** the financial resources of an organization to achieve its objectives and fulfill its commitments to beneficiaries, donors and other stakeholders.

Financial Management brings together

- Planning,
- Budgeting,
- Accounting,
- Financial reporting,
- Internal control including internal audit,
- External audit,
- Procurement,
- Disbursement of funds
- Physical performance.

Sound financial management is a critical input for decision-making and program success with the main aim of managing resources efficiently and achieving pre-determined objectives.

PRINCIPLES OF FINANCIAL MANAGEMENT

The below mentioned principles of financial management provide a high-level guide for governing body and senior managers, help them make sure that their organization is using funds effectively and ensures that staff are working appropriately.

- Consistency
- Accountability
- Transparency
- Viability
- Integrity
- Stewardship
- Accounting Standards

Management System

You must set up your financial systems and policies to comply with the financial requirements of your award. These requirements include:

- Proper categorization of costs;
- Tracking of expenditures;
- Proper charging of bank accounts;
- Accurate reporting.

Financial management is more than just keeping accurate accounting records. It also involves planning, controlling and monitoring financial resources to achieve organizational objectives. At a minimum, a financial management system should ensure that costs are properly categorized, tracked and charged to the appropriate accounts, and that managers are able to report financial information accurately to the Board and to donors.

Components of a Good Financial Management System

Good financial management requires more than simply keeping accurate accounting records. Many NGOs may have only an accounting or bookkeeping system rather than a financial management system. Accounting is a subset of financial management. A financial management system encompasses both **accounting systems** and **administrative systems**.

- **Accounting systems** encompass the methods, procedures and controls established to gather, record, classify, analyze, summarize, interpret and present accurate and timely financial data.
- **Administrative systems** provide the framework for handling procurement, travel, inventory, facilities and personnel matters such as payroll and benefits.

The financial management system should be able to do the following:

1. Provide for accurate, current, and complete disclosure of financial results of grant activities in accordance with applicable requirements;
2. Maintain accounting records which identify the source and use of grant funds to include awards, obligations, unobligated balances, assets, liabilities, expenditures, and income;
3. Maintain internal controls that account for grant cash, property, and assets, safeguard such, and assure that they are used solely for authorized purposes;
4. Compare actual expenditures with budgeted amounts, and relate financial information to performance;
5. Determine the reasonableness, allow ability, and allocability of costs in accordance with cost principles, agency program regulations, and the terms of grant;
6. Support accounting records with source documentation; and
7. Manage cash balances to minimize the time elapsing between the transfer of funds and disbursement.

ELEMENTS OF THE FINANCIAL MANAGEMENT SYSTEM

Element 1: Accounting System

There are two main methods to determine when revenue can be recognized:

- a. **Cash Basis:** revenue is recognized only when cash is received and expenses are recognized only when cash is paid.
- b. **Accrual Basis:** revenue is recognized when earned and expenses are recognized when incurred.

Every organization must keep an accurate record of financial transactions. You must make sure that all these records are carefully filed and kept safe. Good financial records are the basis for sound financial management of your organization and can serve several purposes:

- Information
- Credibility
- Legal Requirement
- Planning and control

Filing and Documentation Requirements: Files should be maintained in an orderly manner to facilitate easy and prompt retrieval. Make sure to keep separate files for donor funded awards.

Element 2: Financial Reporting

Financial Reports are produced to report on and monitor the organization's financial affairs. Financial reports must be timely, accurate and relevant.

Types of financial reports:

1. External (Donor and Other stakeholders) - Both Program and Financial Progress Reports, Audited Financial Statements
2. Internal (Management Report) - Budget monitoring reports and cash flow reports

Financial reports show:

- Where money has come from;
- For what purpose it has been received;
- How it has been spent; and
- What the outputs of operations are.

Donor Reporting Requirements:

- Use agreed donor reporting format;
- Adhere to donor reporting timeline as depicted in the award document;
- Align financial report with activity report.

KEY MESSAGES



When putting together a budget monitoring report to donors, make sure to:

- meet reporting deadlines (or request an extension);
- produce accurate and verifiable figures;
- not conceal under-spends or over-spends;
- explain any significant variations;
- keep the donor informed of any potential problems.

Element 3: Internal Control Standards

It is important to have internal control standards, because they establish systems and procedures, checks and balances that make sure that the financial resources of the organization are properly handled and that risks are managed. Internal controls are the policies and procedures adopted by management to ensure that the organization conducts business in an orderly and efficient manner. Internal control is a process designed to enhance accountability and provide reasonable assurance that a project implementing entity achieves certain objectives.

It refers to a system designed by management of an organization to ensure:

- Efficient and effectiveness of operations
- Reliability of financial information and
- Compliance with applicable laws, regulations, covenants, and internal policies and procedures.

Consequences of poor internal control:

- Bad information, leading to bad decisions
- Inability to carry out mission, achieve objectives
- Waste of resources or loss of assets
- Violation of laws and regulations
- Conflict of interest, fraud, abuse
- Adverse media/congressional attention

Elements of internal control

1. Establish the Control Environment
2. Make a Risk Assessment
3. Implement Control Activities
4. Share Relevant Information
5. Continuously Monitor the Process

4.4. Budget Management

ACTIVITY 4.3. GROUP DISCUSSION



1. How did you define the budget during the grant proposal writing process?
2. Explain the major budget categories and/or components.

Time: 10 minutes

A budget, in simple terms, is a document where you specify on what activities you are going to spend what amount of money (i.e. expenditure).

BUDGET MONITORING

The obligated amount is the amount committed to spending on the project. Therefore, budget should be monitored in order to not to spend above the obligated amount.

The following points should be considered:

- Monthly budget analysis and projection of spending by line items should be prepared to take appropriate actions in advance for smooth implementation of the project activities.
- Budget implementation status discussion needs to be conducted regularly every month with project managers and the Finance personnel at the end of each month.
- For budget that is still in the pipeline, regular follow up is required to check on the amount of money that is available for your project activities at that point in time.
- Consider the burn rate, how you are spending your obligation considering the time elapsed.
- Action points should be identified and well accounted by staff and management for subsequent actions.

BUDGET MONITORING REPORT

Managers need financial information throughout the financial year to monitor project progress and manage budgets effectively. Budget monitoring reports has several different names (e.g. Budget Compared to Actual, Budget Variance and Budget Versus Actual) and can take different forms. These reports also show variances as percentages (see the Plan-Do-Review Process and the Sample Budget Monitoring Tool on the next page).

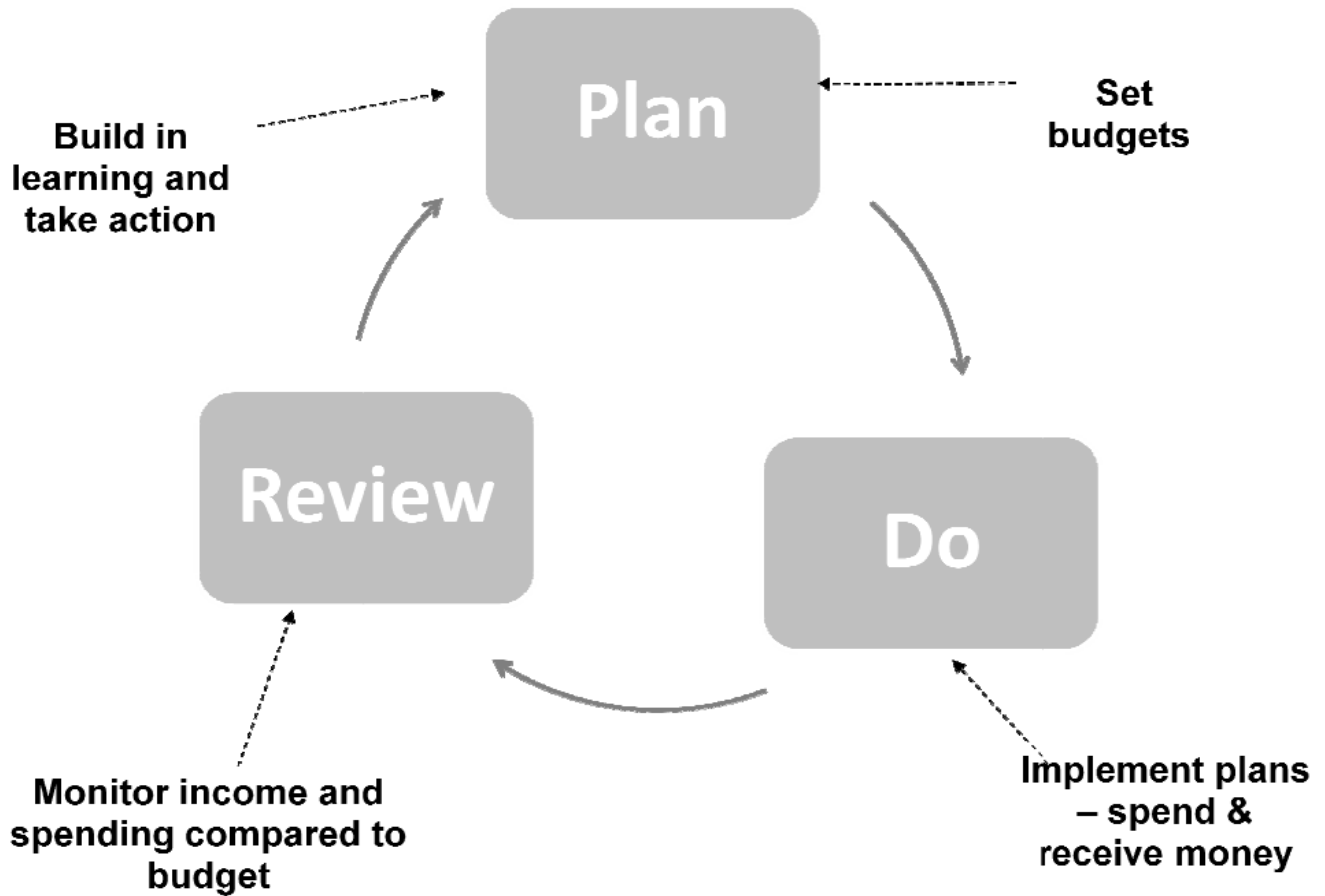


Figure 23: Plan-Do-Review Process

BUDGET MONITORING TOOL

Grantee name:	XXX
Project title	XXX
Agreement No.	####

Award Start Date	09/30/13
Award End Date	09/29/18
Budget Start Date	09/30/16
Budget End Date	09/29/17
Number of Months	5
Total Months	12

Figure 24: Budget monitoring tool

Budget Compared to Actual Report

Budget Item	Approved Budget	Actually spent	Variance	Utilization (Spending)%
Salaries	\$490,000	110,000	380,000	22%
Fringe	132,300	34,398	97,902	26%
Supplies	100,000	15,000	85,000	15%
Travel	340,000	125,000	215,000	37%
Consultants	9,000	10,000	-1,000	111%
<i>Contracted Services:</i>				
Sub-contractor X	60,000	50,000	10,000	83%
Sub-contractor Y	60,000	32,500	27,500	54%
<i>Equipment</i>				
Item #1	80,000	30,000	50,000	38%
Item #2	220,000	100,000	120,000	45%
Item #3	70,000	20,000	50,000	29%
Item #4	150,000	40,000	110,000	27%
Other Direct Costs:	920000	292300	627,700	32%
Total Direct Costs	\$2,631,300	\$859,198	\$1,772,102	33%

Table 8: Budget Compared to Actual Report

Variance analysis involves looking at variations from budget to identify significant or unusual variances and what has caused them to happen. A variance can either be *positive* (favorable) or *negative* (adverse).

A favorable variance happens when:

- actual income is higher than the budgeted amount, or
- actual spending is lower than budgeted (however, note that this is not always good news)

An adverse variance happens when:

- actual income is lower than the budgeted amount, or
- actual spending is higher than budgeted.

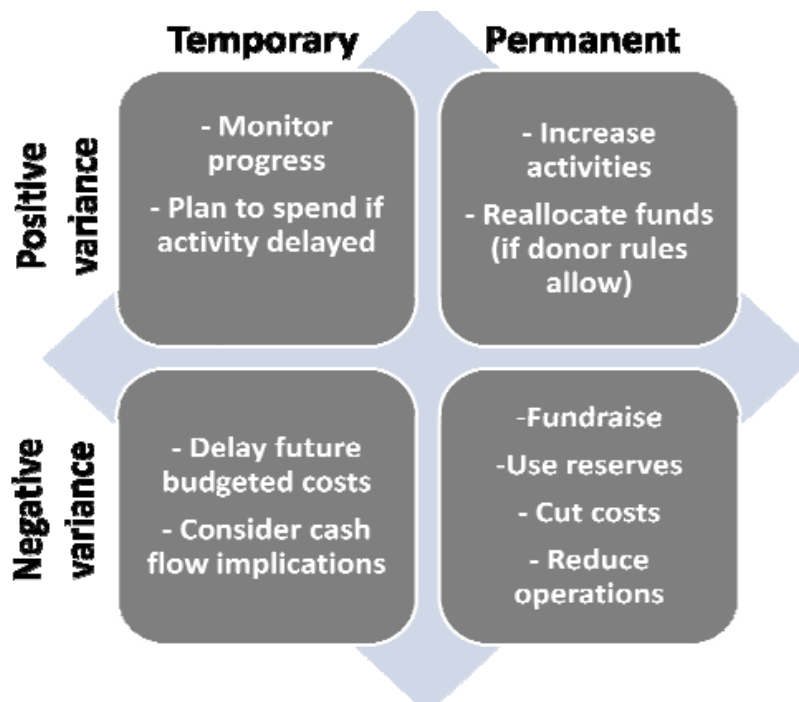


Figure 25: Actions to be taken in case of budget variance

Causes of Variance

The next step is to understand what has caused the variance to happen. What lies behind the change from the original plan? Generally, we can say that variances will be the result of a change in:

- The timing of the activity
- The actual price achieved or
- The actual quantity of goods or services taken.

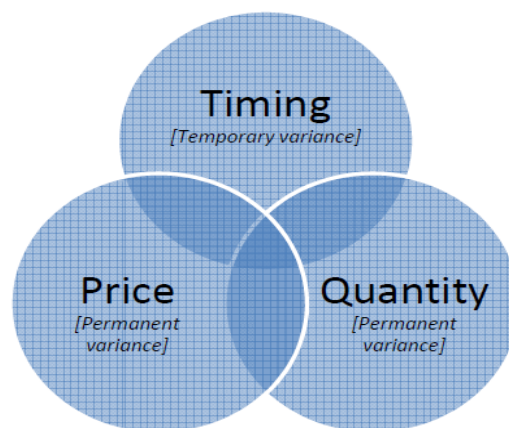


Figure 26: Causes of variance

Temporary variances

Variances caused by a change in the planned timing of an activity (e.g. due to delays or rescheduling) are described as temporary variances because they will most likely work themselves out during the course of the year. This type of variances are therefore generally less of a concern and no corrective action is required. However, it should be checked whether the activity has been implemented in the following quarter.

Permanent variances

Variances caused by changes in the price or quantity of particular budget items generally fall into the permanent variances category because once this has happened, there is no going back. The only way to recover the situation is to make an action plan (e.g. to reduce spending on future items). These variances are therefore generally more serious and management attention and corrective action is required.

Pipeline Budget & Burn Rate

There are a number of terms that can be used to analyze how much of the budget has been obligated and spent:

- **Obligated Amount** – The amount of award committed to the project at any given time, which may be the full amount of the award or a portion of the award amount. In other words, it is the amount available to your organization to spend on the project at that particular time.
- **Pipeline** – The amount of funds obligated but not yet spent.
 - Pipeline = Obligation – Total Amount Spent
- **Burn Rate** – The rate at which an organization spends its award funds on a periodic basis, typically monthly.
 - Burn Rate = Total amount spent /obligation on monthly basis

Example: Pipeline and Burn Rate

NGO X was awarded a Cooperative Agreement for a total of \$1,000. We received an initial obligation of \$10. When the work plan was approved, we received an additional obligation of \$300, bringing our total obligation to \$310. NGO X has been operating now for four months and has spent a total of \$145.

- **Pipeline:** Subtracting our total obligation (\$310) from our total expenditures (\$145) gives us a pipeline of \$165.
- **Burn Rate:** Dividing the amount spent (\$145) by the number of months we have been spending (four) gives us a monthly burn rate of \$36.25.

Budget Revision

Deviations from the approved budget and modifications of expenditures beyond the budget flexibly indicated in the award documents are to be reported to the Funder.

PRIOR APPROVAL REQUIREMENTS

Prior approval means that Funding Agency approval **must** be secured in advance and in writing from the Funding Agency, before proceeding with the amended activity. Typical examples include:

- Change in the scope or objectives of the project;
- Change in key person specified in the application or award document;
- Absence for more than 3 months, or a 25 % reduction in time devoted to the project, of an approved project director;
- Cost and no cost extension;
- Establishment of sub partner, the sub award, transfer, or contracting out of any work under an award (unless described in the application and funded in the approved award);
- Re-budgeting/ Transfer among budget categories: Request exceeds 25% of approved total direct cost for the budget period or \$250,000, whichever is less;
- Alterations and renovations of buildings;
- International travel;
- Purchase of vehicles and value of equipment \geq \$ 5000;
- Restricted items (including motor vehicles, pharmaceuticals, and used goods);

4.5. Procurement Standards

Procurement is the acquisition of goods or services. It is favorable that the goods/services are appropriate and that they are procured at the best possible cost to meet the needs of the purchaser in terms of quality and quantity, time, and location. Following are principles procurements which must be adhered to during day to day procurements: Economy and Efficiency, Transparency, Value for money, Fairness and Competition.

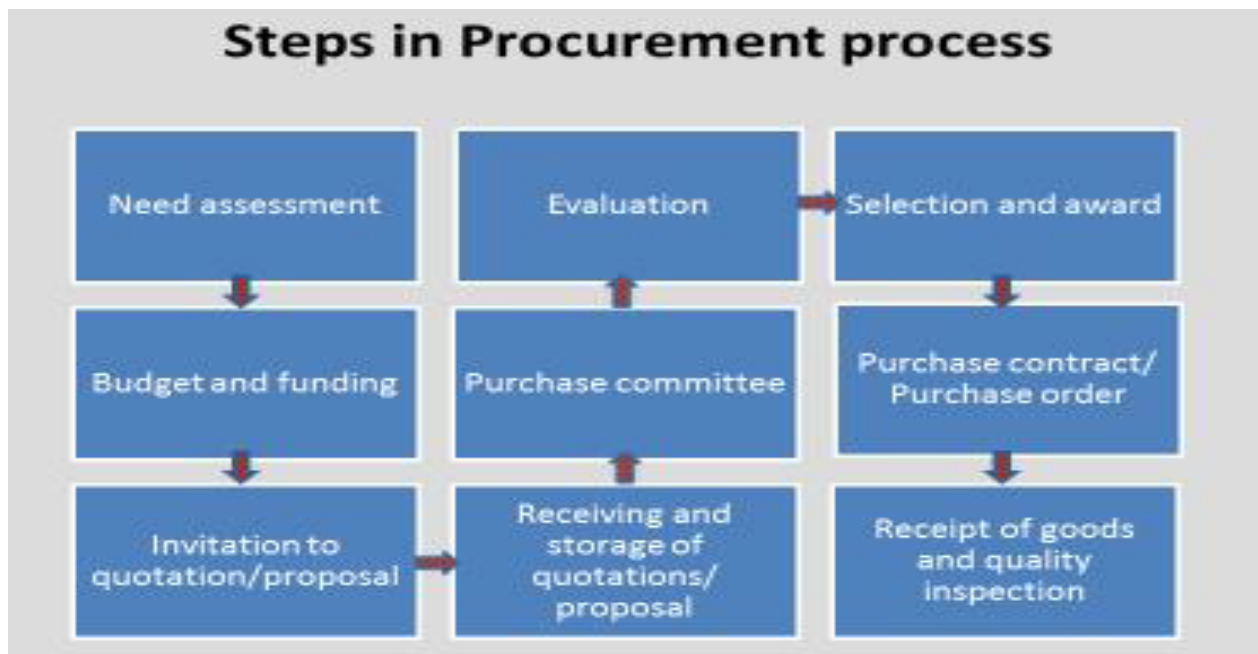


Figure 27: Steps in procurement process

PROCUREMENT CONTRACT AWARD AND MONITORING

Contract Award

The competent authority shall announce a contract award through a written or an electronic notice within the time for acceptance specified in the bid. This document shall be released from the procurement department after being vetted by the competent authority. An award shall not be granted until all required approvals have been obtained.

Contract Monitoring

Monitoring the performance of a vendor is critical to ensuring on-time delivery of required commodities and services. Periodic interaction with the subcontractor is encouraged to ensure that activities are being carried out to successfully complete an order.

Restricted Commodities

Restricted Commodities may only be charged to donor sponsored projects upon prior approval. This approval can be granted either through an accepted project renewal, proposal application or a specific request for permission to purchase such item(s). It is important that permission is acknowledged in writing. For example, the following items need prior approval in USG sponsored projects:

- Agricultural commodities
- Motor vehicles (passenger cars)/non-American
- Pharmaceutical
- Contraceptives
- Used equipment
- Alterations and renovations
- Sub-contract

Prohibited (Ineligible) Commodities

Prohibited items are some of the commodities which are normally forbidden or limited to procure from donor funding. For instance, USG funding sources are not allowable to procure the items that follow.

- Military equipment
- Surveillance equipment
- Commodities for support of police and other Law enforcement activities
- Abortion equipment and services
- Luxury goods and gambling equipment
- Weather modification equipment
- Alcohol
- Construction etc.

Value Added Tax (VAT)

Some donors have bilateral agreements with the Ethiopian Government to exempt VAT from expenditure. For example, the United States Government Mission to Ethiopia in cooperation with the Government of the Federal Democratic Republic of Ethiopia has arranged for the refunding of VAT to ensure that US assistance to the organization remains untaxed and in compliance with applicable USG law.

4.6. Property Management Standards

Basic Functions of Inventory Management:

- Property Types
- Ownership
- Insurance
- Records
- Inventory
- Controls
- Use and Disposition
- Maintenance

PROPERTY TYPES

Property Types includes:

- a) Equipment: Non-expendable (NXP)
- b) Real Property (Land and Buildings and related improvements)
- c) Intangible (patents, copyrights, etc.)
- d) Supplies: Expendable

Acquisition Cost of Equipment

All costs necessary to get the assets to the work site and prepare it for use. It includes Invoice price, Cost of modifications and attachments, Accessories, Negotiation cost, Shipment & installation costs,.

Ownership and Insurance.

Unless the agreement provides otherwise, title to equipment acquired by a recipient with Federal funds shall vest in the recipient

At a minimum, recipients must provide the equivalent insurance coverage for donor funded real property and equipment that is provided for other property owned by the recipient or funded from other sources

Property Records

Equipment property records should include the following information:

- a. Description;
- b. Manufacturer's serial number;
- c. Source and award number;
- d. Title vests in the recipient or funder;
- e. Acquisition date;
- f. Unit acquisition cost and total cost;
- g. Location and condition;
- h. Date of disposal and sales price or market value.

Control System

A control system should be in effect to ensure adequate safeguards for the prevention of loss, damage, or theft of equipment. Any loss or damage should be documented and investigated

Maintenance

Adequate maintenance procedures should be implemented to keep the equipment in good condition

Inventory

A physical inventory of equipment should be performed at least once every two years and the results reconciled with records. Any differences between physical count and records should be

investigated to determine the cause, and corrections made. The physical inventory should be performed to verify existence, current use, and the continued need for the assets.

Use and Disposition

In general, the recipient shall use the property for the authorized project purpose for which it was acquired, for as long as needed (unless specified differently in the donor-recipient agreement).

4.7. Human Resource Management

What is Project Human Resource Management?

- Human Resource Management is the processes that organize and manage the project team
- People determine the success and failure of organizations and projects
- Project human resource management includes the processes required to make the most effective use of the people involved with a project. Processes include
 - Develop Human Resources Plan
 - Acquire Project Team
 - Develop Project Team
 - Manage Project Team



Figure 28: Process flow of Human Resource Management

KEY ACTIVITIES OF HUMAN RESOURCES MANAGEMENT

- Human Resource Planning
- Recruitment, Selection and Orientation
- Clearly defined roles and responsibilities are essential for the successful project
- Human Resource Policies and procedures
- Salary and Benefit Administration
- Performance Management
- Training and Staff Development
- Communications and Counselling
- Time and Attendance Reports

4.8. Grant Monitoring

ACTIVITY 4.4. GROUP DISCUSSION



Brainstorm on why grant monitoring during implementation is suitable.

Time: 5 minutes

OBJECTIVES OF GRANT MONITORING:

1. To ensure adequate progress towards achieving grant project performance;
2. To ensure both financial and program compliance to the applicable laws and agreements;
3. Donor funds are used responsibly.

There are two basic ways to conduct monitoring reviews: desk review (document review) or site visits.

WHY GRANT MONITORING?

- To ensure that expenditure the award in accordance with rules and regulations of Donor, terms & Conditions of Signed Sub agreements and other applicable government rules. (Compliance).
- To provide technical assistance, feedback and take corrective actions to recipient or/sub-recipient in an effort to improve their grant management and ensure timely achievement of the overall HRH Program activities.
- To ensure the existence of Prudent Financial accounting system and a good Internal control systems (according to General Accepted Accounting Principle (GAAP)).
- To ensure effective budget management in terms of monitoring its utilization status by line item.
- To check the reliability and accuracy of partners' financial reports.
- To check the existence of required minimum supporting documentation at recipient/subcontract.
- To verify whether costs are reasonable, can be properly allocated, and are allowable under the terms and conditions of the sub grant.
- Generally, to verify that project objectives are being met and deliverables are achieved and submitted.

4.9. Cost Principles

ACTIVITY 4.5. GROUP DISCUSSION



Suppose the program director is preparing a project meeting with several officials from surrounding communities. He wants to serve wine and hire a music band.

- Can the wine and entertainment be charged to the USG grant?
- If the organization considers this necessary and reasonable for the event, how can it pay for the wine and entertainment?

Time: 10 minutes

All proposed project costs must be:

- Allowable;
- Allocable;
- Reasonable;
- Consistent.

IF A PROPOSED COST DOES NOT MEET ALL OF THESE CRITERIA, IT WILL BE REJECTED BY THE FUNDER. ALLOWABLE COSTS

To be *allowable* under an award, costs must meet the following general criteria:

1. Be reasonable for the performance of the award and be allocable under these principles.
2. Conform to any limitations or exclusions as to "types" or "amounts" of cost items such as limitations in the award budget or other award financial plans.
3. Be consistent with policies and procedures that apply uniformly to both USAID-financed and other activities of the organization.
4. Be accorded consistent accounting treatment.

5. Be determined in accordance with generally accepted accounting principles.
6. Not be included as a cost or cost sharing of any other programs financed by USAID (or any other source, such as other donors) in either the current or a prior period.
7. Be adequately documented.

Military equipment	Spying equipment	Fundraising costs	Equipment to support police force
Alcoholic drink	Entertainment	Bad debts	Fines and penalties
Abortion equipment	Contributions or donations	Goods or services for personal use	Lobbying for political candidates
	Advertising/public relations to promote organization	Gambling equipment	

Figure 29: Examples of non allowable costs in the case of USG sponsored grants

ALLOCABLE COSTS

A cost is **allocable** to an award in accordance with the relative benefits received and if it:

1. Is incurred specifically for the activities financed under the award.
2. Benefits the activities under the award and can be distributed in reasonable proportion to the benefits received.

REASONABLE COSTS

A cost is *reasonable* if, by its nature or amount, it does not exceed the cost that would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In determining the reasonableness of a given cost, consideration should be given to:

1. Whether the cost is of a type generally recognized as ordinary and necessary for the operation.
2. Whether the individuals concerned acted with prudence in the circumstances.
3. Restraints or requirements on the cost that are imposed by such factors as generally accepted sound business practices.
4. Significant deviations from the established practices of the organization, which may unjustifiably increase award costs.

CONSISTENT COSTS

All costs must be afforded consistent accounting treatment. This means that a particular type of cost must always be treated similarly under similar circumstances. The methodology and practice used in estimating costs in an individual budget must be applied consistently across all project budgets.

4.10. Audit

ACTIVITY 4.6. GROUP DISCUSSION



Explain some of the risk areas in grant finance management in your organizational context.

Time: 10 minutes

An audit is an independent examination of records, procedures and activities of an organization, resulting in a report on the findings.

WHAT IS A-133 AUDIT?

A federal A-133 single audit is comprised of two parts: a financial audit and a compliance audit. The term “single” refers to the combining of financial and compliance audits in a common effort and report.

- a. A **financial audit** is conducted to provide reasonable assurance that the financial statements of a federal award recipient present fairly the financial position, results of operations, and cash flows of the organization as a whole, or of the federally funded program, in conformity with generally accepted accounting principles.
- b. **Audit of the entity’s major federal awards program(s) and a compliance audit** considers whether the award recipient is following laws, regulations and written agreements related to the federal award and evaluates internal control policies and practices.

GENERAL REQUIREMENTS

If its annual spending from all USG sources during the award year is more than US\$300,000, recipients of USG funds are required to comply with the Office of Management and Budget (OMB) Circular A-133 audit requirements. In addition, the recipient is required to engage auditors in accordance with *Guidelines For Financial Audits Contracted By Foreign Recipients*. The audits shall be completed by an independent auditor in accordance with generally accepted government auditing standards covering financial audits. **Audits must be completed within nine months of the award recipient’s fiscal year. The Recipient has to submit the final audit report to the funding donor.** Please refer to the OMB Circular A-133 for a more detailed guidance.

4.11. Compliance to Award Requirements

ACTIVITY 4.7. GROUP DISCUSSION



Deliberate why compliance is important for program/finance staff.

1. Brainstorm and discuss among your team.
2. List at least three reasons.

Time: 10 minutes

Compliance is either a state of being in accordance with established guidelines, specifications, or legislation or the process of becoming so. In other words, it means performing in conformity with the controls and procedures imposed by appropriate laws, rulings, or legally binding agreements. There are a number of types of compliance:

- 1) *Compliance to Gov't. Laws, regulations or directives;*
- 2) *Compliance to Donor requirements;*
- 3) *Compliance to internally established policies and procedures;*
- 4) *Adherence to Generally Accepted Principles.*

WHO IS RESPONSIBLE FOR COMPLIANCE?

- Every project staff member is responsible for compliance;
- Senior-level management assumes leadership roles in establishing the organization's commitment to compliance initiatives;
- Each project staff member has the responsibility to obtain knowledge about regulation and compliance.

To be in full compliance:

- All program and support staff working for the project at different levels should have a thorough understanding of the award terms and conditions.
- They should thoroughly understand the scope of work, reporting requirements, terms and conditions, standard provisions, substantial involvement requirements, etc.



Figure 30: Compliance in precedence order

4.12. Grant Closeout Procedures

ACTIVITY 4.8. GROUP DISCUSSION



Brainstorm on what important features of the grant closeout procedure are.

Time: 10 minutes

The grant closeout procedure includes all the final steps in completing a grant agreement. It occurs when the awarding agency determines that all applicable administrative actions and work under the grant have been completed. There are four key responsibilities at the closeout:

- Dispose of property acquired with donor funds;
- Complete and submit the final financial report and reconcile funds awarded to funds spent;
- Complete and submit the final progress report and document performance under the grant;
- Manage unobligated cash balance that is not authorized to be used on other grants as per terms and conditions.

PLANNING

Planning is required six months before the period of performance ends. Verify the following issues:

- Is the project still on schedule?
- Will an extension be needed?
- Is the project within budget?
- Are narratives on activities being done?
- Have the required reports been submitted?
- Can these reports tell the story of the project?

The closeout process involves documenting program results and certifying adherence to applicable rules and regulations. In addition, there are certain financial certifications and reports that must be provided to funder, based on a final assessment of costs. This section does not address all aspects of closeout but is intended to address those aspects that relate to compliance with the terms and conditions of the award and funder's policies and procedures.

Within 90 days after the end date of the award or any approved extension thereof, the recipient should do the following:

- A. **Cash Reconciliation** - The recipient should request reimbursement for any funds due to cover expenditures and obligations (incurred prior to the grant expiration date and liquidated within 90 days after the grant expiration date) at award closeout. The recipient expenditures (outlays) must be equal to or greater than the cash disbursements.
- B. **Drawdown of Funds** – The recipient should request final payment for reimbursement of expenditures made within the approved period in conjunction with the final financial status report.

FINAL REPORTS

In order to close out an award, the following documents should be submitted:

1. Final Financial Status Report
2. Final Programmatic Report
3. Property Disposition Plan
4. Residual Supplies Inventory Report
5. Record Retention
6. Final Audit

Each of these documents are discussed in detail below.

Document 1: Final Financial Status Report

This final report of expenditures must have no unliquidated obligations and must indicate the exact balance of unobligated funds. Any unobligated/unexpended funds will be de-obligated from the award amount. At the end of the award, the Funder usually requests submission of a final accounting report. Its timely completion is a critical part of a successful close out process. This report summarizes program costs for the applicable period and provides the Funder with details of residual funds or unobligated balances. The submission of this report can also signify the start date for compliance with the statutory record keeping period, as many Funders specify the submission date of the final financial report as the beginning of the timeline for the award's record retention period.

The recipient is responsible to expend all award funds necessary to meet award objectives by the expiration date of the award period. Expended funds cover approved expenses that have been incurred (goods and services received) by the expiration date but not yet paid. The recipient has 90 days after the expiration date of the award to disburse those funds that have already been expended.

Document 2: Final Programmatic Report

After the expiration date of the award, the recipient is required to submit a final performance report based on the requirements of the award being closed. Recipient will be expected to address the following points at minimum:

- A comparison of actual accomplishments with the goals and objectives established for the entire period of performance;
- Problems or constraints faced in program implementation, and how they were addressed, including reasons why established goals were not met, if appropriate;
- Actual accomplishments toward the achievement of the relevant indicators and targets outlined in the project work plan and monitoring and evaluation plan;
- Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs

The final performance report is cumulative and therefore should cover the entire performance period.

Document 3: Property Disposition Plans

These are requirements for which programs to maintain inventory records throughout the life of the project that will allow them to easily determine which items require Funder approval for disposition, per the terms of the award. In addition to consulting the award document, program management staff should also review the original project proposal, as a disposition plan may have been proposed to donor at that stage.

The first step in preparing the property disposition plan is to review the project's up-to-date inventory. Once the plan is finalized, donor's approval should be obtained, if required by the award.

This applies for equipment .non-expendable items or assets that have a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. The recipient is responsible to maintain complete equipment records including a description of the equipment; a serial number or other identification number; the source of the equipment; the name of the person or entity that holds the title; the acquisition date and cost of the equipment; the location, use and condition of the equipment.

Within 90 days of the date of expiration of your award, the recipient should submit to donor inventory of all equipment purchased with award funds including those that have a current fair market value of \$5,000 or more.

Document 4: Residual Supplies Inventory Report

If the recipient has an inventory of unused or residual supplies exceeding \$5,000 in total aggregate value upon expiration of the award, a Residual Supplies Inventory Report form should be submitted to donor for review and disposition instructions.

Document 5: Record Retention

All parties involved in program implementation should maintain the requisite documentation for the required contractual period. The award terms and conditions specify the duration of the record retention period.

In accordance with the requirements set forth in the OMB administrative requirements circulars for USG sponsored projects, all financial records, supporting documents, statistical records, and all other records pertinent to the award shall be retained by each organization for at least three years or as per government policies whichever is higher from the date of submission of the final expenditure report. In cases where litigation, a claim, or an audit is initiated prior to expiration of the three-year period

Document 6: Final Audit

Any outstanding audit findings and recommendations must be resolved in order for award to be officially closed out.

CHAPTER SUMMARY

- Carefully read the notice of award, particularly the terms and conditions.
- Approach cooperative agreement with a collaborative attitude.
- Submit reports timely.
- Signature of principal investor/ project director / authorized business official is required for all grantee correspondence.
- Maintain regular communication with funder and other stakeholders.
- Financial management reminders:
 - Maintain separate account for grant funds.
 - Document financial management and budget procedures.
 - Request funds as needed to meet expectations.
 - Do not keep large amount of cash on hand.
 - Make sure that all project costs are allowable.

References

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3. Birmingham City Council, 2011; Summary of Grant Funding Guidance & Toolkit for Third Sector Organizations
4. Cheryl Carter New and James Aaron Quick, 2003; How to Write a Grant Proposal
5. David Cleden, 2011; Bid writing for project managers, British Library Cataloguing in Publication Data.
6. FHI 360, MSI, and USAID, 2010; The Essential NGO Guide to Managing Your USAID Award

Appendix A: List of terminologies

- **Active Grant:** is a grant currently running in an approved budget period (i.e. Today's date is between the budget start and end dates.)
- **Acquisition:** Obtaining supplies or services by the funding agency (A USG) with appropriate funds through purchase or lease or contract.
- **Administrative Expenses:** Expenses incurred for the support of activities relevant to the award of grants, contracts, and cooperative agreements
- **Allocable Cost:** A cost that can be assigned to a project that meets a specific project objective based on relative benefits received.
- **Allowable Cost:** A cost incurred by a recipient that is: (1) reasonable for the performance of the award; (2) allocable; (3) in conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost or in the NOA as to the type or amount of cost; (4) consistent with regulations, policies, and procedures of the recipient; (5) accorded consistent treatment as a direct or indirect cost; (6) determined in accordance with generally accepted accounting principles; and (7) not included as a cost in any other federally supported award (unless specifically authorized by statute).
- **Application:** A request for financial support of a project or activity usually submitted in a specified format, using specified forms and in accordance with instructions provided by the awarding office (grantor agency).

Application Types:

Type 1	New
Type 2	Renewal (a.k.a. Competing continuation)
Type 3	Competing Revision/Administrative Supplement Application for additional (supplemental) support to cover increased costs (non-competing

	administrative supplement) or to expand the scope of work (competing revision)
Type 4	Extension- Request for additional years of support beyond the years previously awarded. Used only for select programs.
Type 5	Non-competing continuation
Type 6	Successor-In-Interest
Type 7	Change of grantee institution

- **Application notice** is published on fedgrants.gov and invites applications for one or more discretionary grant competitions. It provides basic program and fiscal information on each competition, informs potential applicants when and where they can obtain applications, and cites the deadline date for a particular competition.
- **Application Package:** A group of specific forms and documents for a specific funding opportunity which are used to apply for a grant.
- **Approved Budget:** is the financial expenditure plan, including any revisions approved by the awarding office for the grant-supported project or activity, and will be specified on the Notice of Grant Award and on any subsequent revised or amended award notice.
- **Assistance:** The award of money, property, or services to a recipient to accomplish a public purpose as authorized by Federal statute. Assistance relationships (e.g. grants) are expressed in less detail than are acquisition relationships (contracts), and responsibilities for ensuring performance rest largely with the recipient or are shared with the Government.
- **Award:** Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money to an eligible recipient. The term does not include: technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; and

contracts which are required to be entered into and administered under federal procurement laws and regulations.

- **Block Grants:** A Block Grant is a type of mandatory grant in which the recipients have substantial authority over the type of activities to support, with minimal funder administrative restrictions. Formula funds that are not allocated to a specific category and are more flexibly distributed. You apply directly to the FMOH for these funds, and the FMOH sets up procedures for funding disbursement.
- **Bilateral Agreement:** An agreement that both parties must sign before the award is granted.
- **Bridge Awards:** Bridge awards provide continued but limited interim support (bridge funding) for grantee who just miss the funding cutoff and have minimal support from other sources. The continued funding will permit the PD/PI additional time to strengthen a resubmission application. A Bridge award recipient usually will receive an R56 award for a single year.
- **Budget:** The financial plan for your grant itemized to show the breakdown of both income and expenses. Graphical representation can be helpful in presenting this information clearly.
- **Budget Period:** Internal funding period of an award - usually 12 months. The project period is divided into budget periods for budgetary and funding purposes.
- **Budget narrative** explains the budget. Explanations can include the derivation of amounts (for example, a \$1,250 budget item derives from 100 people at five meetings each using a \$2.50 expendable item), the itemization of totals, the purpose of purchased supplies and services, and the justification of the size of salaries, fringe benefits, and indirect costs.
- **Carryover:** Unobligated Federal funds remaining at the end of any budget period that, with the approval of the GMO or under an automatic authority, may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset

or additional authorization). Obligated, but un liquidated, funds are not considered carryover.

- **Continuation Application:** An application for continued support on current projects already funded by the sponsor.
- **Contract:** An agreement where the funder has more involvement and uses the project to achieve a specific outcome or deliverable. Example: A sponsor requests proposals to devise an electric wheelchair. Before the project begins, the funder and the recipient discuss what features the wheel chair should have and agree on tests that the finished project must pass. The work is conducted by the recipient.
- **Concept:** The earliest planning stage of an initiative [request for applications (RFA), request for proposals (RFP), or program announcement (PA)]. Concepts are brought before the Advisory Council for concept clearance. Not all concepts cleared by Council are published as initiatives depending on the availability of funds.
- **Cooperative Agreement:** An award of financial assistance that is used to enter into the same kind of relationship as a grant; and is distinguished from a grant in that it provides for substantial involvement between the federal agency and the recipient in carrying out the activity contemplated by the award.
- **Consortium Agreement:** A formalized agreement whereby a project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned project and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific level of effort from the consortium organization's PD/PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including F&A costs. The relationship between the recipient and the collaborating organizations is considered a relationship.

- **Cost Sharing:** The terms "cost sharing," "matching," and "in-kind" refer to that portion of the total project costs not borne by the sponsor. The University generally refers to cost sharing when looking at labor items.
- **Cost Transfer:** A direct charge expense transferred from one account to another after the charge has been posted in a financial accounting record.
- **Cost Reimbursable:** An agreement in which the sponsor funds the project to the extent described in the award notice. The grantee is reimbursed by the sponsor only for actual costs incurred; any unspent funds revert to the sponsor (see Fixed Price Project Agreement).
- **Cultural Competence** is the attainment of knowledge, skills, and attitudes that enable administrators and practitioners within systems of care to provide for diverse populations. Cultural competence includes an understanding of a culture's language, beliefs, norms, and values that may have a significant impact on the well-being of individuals within that culture. Cultural competence is a critical component of Federal grant programs.
- **Direct Costs:** Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.
- **Disallowance:** A charge to a grant that the Federal awarding agency determines to be unallowable in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.
- **Discretionary Grant:** A grant (or cooperative agreement) for which the awarding agency generally may select the recipient from among all eligible recipients, may decide to make or not make an award based on the programmatic, technical, or scientific content of an application, and can decide the amount of funding to be awarded.

- **Earmark grants** are grants that are appropriated by Congress prior to a peer review. The term "earmark" is a reference to the Congressional Record where the awards are written into the legislation specifically with the grant applicant's name, activity and dollar amounts.
- **Expiration Date** is the date signifying the end of the current budget period, as indicated on the Notice of Grant Award, after which the grantee does not have authority to obligate grant funds
- **Federal Acquisition Regulations (FAR):** Laws regulating government contracting
- **Federal Financial Report (FFR):** The Federal Financial Report (SF425) is a single form consolidating the collection of financial information previously collected on the Cash Transaction Report (SF 272 and the Financial Status Report (SF269).
- **Funding Opportunity Announcement (FOA):** A publicly available document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program. FOA can be found at Grants.gov/FIND and on the Internet at the funding agency's or program's website.
- **Grace Period:** A grace period may be created at the grantor agency's discretion to extend the application submission period. This period reflects the number of days after the closing date that Grants.gov will continue to accept applications for a grant opportunity, for example, an agency might include a grace period to accept revised applications. It also represents the day (Closing Date + Grace Period) that applicants will no longer be able to download the application package. This value is entered by an agency when creating a grant opportunity and is not visible to grant applicants.
- **Grant:** An award of financial assistance, the principal purpose of which is to transfer a thing of value from a funding agency to a recipient to carry out a public purpose of

support or stimulation. A grant is distinguished from a contract, which is used to acquire property or services for the federal government's direct benefit or use.

Grantee is an individual or organization that has been awarded financial assistance under one of the agency's grant programs.

- **Grant Award Notification** is an official document signed by the authorized official stating the amount and the terms and conditions of an award for a discretionary grant.
- **Indirect costs** are costs an organization incurs for common or joint objectives that cannot be readily and specifically identified with a particular grant project or other institutional activity. The Federal government has replaced "indirect costs" with the term "facilities and administration (F&A) costs."
- **Indirect cost rate** is a percentage established by a Federal department or agency for a grantee organization, which the grantee uses in computing the dollar amount it charges to the grant to reimburse itself for indirect costs incurred in doing the work of the grant project.
- **NICRA: Negotiated Indirect Cost Rate Agreement.** A method of charging costs which cannot be directly identified.
- **No Cost Extension** is a formal extension of the grant period to allow the grantee additional time to complete grant-funded activities at no additional cost to the Grantor (grantor does not provide additional money)
- **Notice of Award (NoA):** The official, legally binding document, signed (or the electronic equivalent of signature) by a Grants Management Officer that: notifies the recipient of the award of a grant; contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and, provides the documentary basis for recording the obligation of Federal funds.

- **Obligations:** The amounts of orders placed, contracts and grants awarded, services received and similar transactions during a given period that require payment by the recipient during the same or a future period.
- **Office of Management and Budget (OMB) Circular A-21:** Office of Management and Budget Circular A-21, Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions. This document establishes uniform regulations that the University must follow in regards to determining costs applicable to grants, contracts, and other agreements with educational institutions. Each Federal agency applies these laws in its own regulations that are listed in the Code of Federal Regulations (CFR) and explained in its policy handbook (if it has one). The OMB Circular is the backbone of agency regulations; the agency cannot impose regulations that are inconsistent with the Circular or impose additional requirements.
- **Office of Management and Budget (OMB) Circular A-110:** Office of Management and Budget Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. This document establishes uniform regulations for each Federal agency to follow in regards to the administration of projects sponsored by the Federal government. In addition, each Federal agency has its own regulations that are listed in the Code of Federal Regulations (CFR) and explained in its policy handbook (if it has one).
- **Prior Approval:** Written approval by an authorized awarding agency official evidencing prior consent.
- **Program regulations** implement legislation passed by Congress to authorize a specific grant program, and include applicant eligibility criteria, nature of activities funded, selection criteria under which applications will be selected for funding, and other relevant information.
- **Project period** is the total amount of time during which FNS authorizes a grantee to complete the approved work of the project described in the application.

- **Recipient** is the grantee, or where sub-grants are authorized by law, the sub-grantee that receives financial assistance in the form of grants or cooperative agreements or the Recipient of goods or services provided with grant funds.
- **Request for Application (RFA):** Announcements that indicate the availability of funds for a topic of interest to a sponsor. Proposals submitted in response to RFAs generally result in the award of a grant.
- **Request for Proposal (RFP):** Announcements that specify a research topic, methods to be used, product to be delivered, and appropriate applicants sought. Proposals submitted in response to RFPs generally result in the award of a contract.
- **Seed Grant/Money/funding:** is a startup grant in the form of securities offering in which a funder provides the initial part of a project. The term seed suggests that this is a very early investment, meant to support the project until it can start on its own, or tested and ready for further investments.
- **Sub-grant** is an award of financial assistance in the form of money or property made under a grant by a grantee to an eligible recipient called a sub-grantee
- **Suspension:** Temporary withdrawal (or Suspension) of the grantee's authority to obligate grant funds pending corrective action by the grantee.
- **Sustainability:** To sustain means to hold up, keep in existence, to supply with necessities, to support from below, to encourage, and affirm validity (Webster's New College Dictionary, 3rd edition. 2005).
- **Termination**, in grant terms, is the permanent withdrawal of the grantee's authority to obligate previously awarded funds before that authority would otherwise expire, including voluntary relinquishment of that authority by the grantee.
- **Terms of Award:** are all the legal requirements imposed on a grant by the funder whether by statute, regulation, or terms in the grant award document. Each Notice of Grant Award may include both standard and special provisions that are considered necessary to attain

the objectives of the grant, facilitate post-award administration of the grant, conserve grant funds, or otherwise protect the Federal Government's interests.

- **Unobligated Balance:** The portion of the funds authorized by an awarding agency that has not been obligated by the recipient and is determined by deducting the cumulative obligations from the cumulative funds authorized.
- **Unallowable cost** means any cost which, under the provisions of any pertinent law, regulation, or sponsored agreement cannot be included in prices, cost reimbursements, or settlements under a Government sponsored agreement to which it is allocable.
- **Unrestricted Funds:** Funds having no requirements or restrictions as to use. Grants, contracts, and cooperative agreements are considered to be restricted funds.
- **Unsolicited Proposal:** Proposals submitted to a sponsor that are not in response to a RFP, RFA, or program announcement.
- **Voluntary Cost Sharing:** Cost sharing that is not required by the sponsor, is stated on the Notice of Grant/Contract Award (NOGA), and although not reported to the sponsor, must be documented through established procedures.
- **Voluntary Matching:** Matching that is not required by the sponsor, is stated on the Notice of Grant/Contract Award (NOGA), and although not reported to the sponsor, must be documented through established procedures.

Appendix B: Sample Work and Financial Plan

SAMPLE FORMAT [WORK PLAN]																	
Project Title:										Project Proposal No.:							
Name of Project Proponent:																	
Project Timeline/Duration:																	
Brief Description of General Objective of Project:																	
Brief Specific Objective No 1:						Duration of Activity in Months/Quarters											
						1	2	3	4	5	6	7	8	9	10	11	12
Activity	Expected Output	Location	Performance Indicator / Measure	Responsible Party / Work Component	Estimated Cost												
1																	
2																	
3																	
Brief Specific Objective No 1:						Duration of Activity in Months/Quarters											
						1	2	3	4	5	6	7	8	9	10	11	12
Activity	Expected Output	Location	Performance Indicator / Measure	Responsible Party / Work Component	Estimated Cost												
1																	
2																	
3																	

SAMPLE FORMAT [FINANCIAL PLAN]

Project Title:			Project Proposal No.:	
Name of Project Proponent:				
Project Timeline/Duration:				
Brief Description of General Objective of Project:				
I. Personal Services		Quantity	Cost	
	Direct Cost Salaries Cost			
	Indirect Cost			
				Total for PS
II. Maintenance and Other Operating Expenses				
	Direct Cost Supplies and Materials Equipments			
				Total for MOOE
III. Equipment Outlay				
	Breakdown of Equipment			
				Total EO



Appendix C: Example Work Plan

Illustrative Training in a New Egypt Workplan	2013												Lead Personnel/Partner	Resources & Notes	
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep			
<i>Anticipated start date: 1 October 2012</i>															
Program Mobilization/Start-up															
Sign Task Order contract / Hold start-up meeting with COR and each of the USAID Technical Teams	X													COP (chief office programmer)	
Program office start-up and recruit Project Personnel	X	X												COP	Key personnel fielded within one month.
Develop multi-functional website for project	X	X	X											World Learning/DEVIS/Kaizen	Fully functional within three months, components available before then.
Conduct mapping of Egyptian and third country service providers	X													Outreach/Recruit Spec	
Component 1: Scholarships, Training and Support for Professionals															
Conduct needs assessment with USAID and its implementing partners (contributing to Work Plan and Training Plan)	X													Training/PI Spec	
Design Post-Graduate opportunities for participants to pursue PhD, Master's degree, and post-doctoral programs at US universities	X	X	X	X										Training/PI Spec/and Activity Management Teams (AMTs)	Considering the academic calendar, placements would be for Summer/Fall 2013.
Design training and professional development activities in Egypt, US and third countries		X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec and AMTs	Program Team stands ready to design and implement training programs from the start of the task order
Develop and implement marketing and publicity plans to generate awareness about scholarship and training opportunities	X	X	X	X	X	X	X	X	X	X	X	X	X	Outreach/Recruit Spec	Process will repeat for multiple cohorts. Social media; print media
Establish selection criteria in consultation with USAID	X	X												Outreach/Recruit Spec	Process for initial scholarship cohort. Will repeat for each academic year.
Hold initial applicant screenings, interviews and select candidates		X	X	X	X									Outreach/Recruit Spec	Process for initial cohort. Meeting space
Conduct post-selection orientation for applicants and alternates							X	X	X	X	X			AMTs	Process for initial cohort. Meeting space

Implement Post-Graduate opportunities for participants at US universities						X	X	X	X	X	X	X	AMTs	Outreach/ Recruit Specialist and DC team will recruit US host organizations as post-docs are located.	
Implement training and professional development in Egypt, US and third countries		X	X	X	X	X	X	X	X	X	X	X	AMTs		
Integrate follow-on activities into program such as action planning			X	X	X	X	X	X	X	X	X	X	AMTs; Communities of Practice	Follow-on support from Egyptian institutions	
Conduct post-training briefings with participants to assess training program and determine appropriate follow-on activities		X	X	X	X	X	X	X	X	X	X	X	AMTs	Meeting space; on-line resources, Survey Monkey	
Implement follow-on activities including, but not limited to, targeted technical assistance, Master classes, quarterly dialogues, poster presentations, etc.			X	X	X	X	X	X	X	X	X	X	AMTs/Kaizen	Event schedules will be provided to USAID in quarterly reports with weekly reminders.	
Component 2: Partnerships for Tertiary Education Institutions															
Identify priority sectors for partnerships in coordination with USAID COR and USAID/Egypt Technical Offices	X	X												COP and Senior Partnership Manager	
Identify and recruit multiple U.S. and Egyptian institutions with expertise in the priority sectors			X	X	X	X								Senior Partnership Manager	With Program start-up, recruitment of Egyptian & US institutions occurs later in YR 1 than others.
Provide a summary of all potential partnerships and estimated costs to the COR and appropriate Technical Offices						X	X							Senior Partnership Manager (AMIDEAST)	
Sign Partnership Plans between US and Egyptian institutions					X	X	X							Senior Partnership Manager	USAID COR approval required before funding of activities will be provided/arranged.
Support partnerships through activities including workshops, trainings, study tours, faculty exchanges, etc.					X	X	X	X	X	X	X	X		AMTs	Once established partnership support will occur throughout the year.
Component 3: Administrative, Logistical and Programmatic Support Services															
<i>1. Planning and Coordination</i>															
Collaborate closely with the Mission's Technical Teams to ensure all Program goals are met	X	X	X	X	X	X	X	X	X	X	X	X		COP	Write reports will be provided regularly along with on-line ad-hoc reports available.
Develop a web-based activity request and monitoring system	X	X												World Learning/DEVIS	Program website



Work with USAID's technical offices to develop and revise the Program's annual work plan	X	X												COP	Revisions will happen annually and adjusted as Mission priorities and situational context changes.
2. Needs Assessments															
Identify assessment tools needed based on the level of complexity of activity	X	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec/AMT	Appropriate assessment tools and procurement will be determined on a case-by-case basis with COR.
Conduct needs assessment, identify gaps	X	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec/AMT	
Design activities based on needs and capacity assessments	X	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec/AMT	
3. Training Intervention Requests and Training Implementation Plan															
Receive Training Intervention Request (TIR)	X	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec	Available on-line or in hard-copy.
Input additional information for TIR and receive all required approvals	X	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec/AMT	
Develop the Training Implementation Plan	X	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec/AMT	
4. Recruitment and Selection															
Tailor recruitment strategy to the activities and expected results	X	X	X	X	X	X	X	X	X	X	X	X	X	Outreach/Recruit Spec	On a case-by-case basis.
Identify minimal requirements for participants	X	X	X	X	X	X	X	X	X	X	X	X	X	Outreach/Recruit Spec	
Conduct selected recruitment strategies	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	Social media; print media
Screen and select all applicants in compliance with ADS 253	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
5. Placement															
Conduct competitive procurement process for training services	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
Place participants in relevant training programs	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
Recommend to USAID at least 3 options for post-graduate programs		X	X											AMTs	
6. Pre-training Preparation and Orientation															
Develop briefing books for participants	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	Materials for books
Conduct pre-departure orientations	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	Meeting space
7. Visa Compliance, TraiNet/VCS Requirements Support															
Secure signed Conditions of Sponsorship Forms and Stakeholder Compacts from scholars	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
Enter TraiNet data and generate DS-2019 forms	X	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	

Enroll participants in Health and Accident Coverage	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
Make travel arrangements	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
8. Alumni														
Support on-going alumni follow-on activities			X	X	X	X	X	X	X	X	X	X	AMTs/Kaizen	
Utilize program website to notify alumni of networking events and other engagement opportunities			X	X	X	X	X	X	X	X	X	X	AMTs/Kaizen	Program website
9. Procurement														
Post procurement opportunities on the Program website	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec	Program website
Work with applicable USAID's partners to review and rank offers	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec	For activities benefiting their programs, minimally
10. Monitoring and Evaluation														
Establish participants and organizations baselines	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec	For organizations and participants
Coordinate closely with training providers to ensure proper monitoring	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
Inform USAID of situations that impact the health, safety or well-being of participants	X	X	X	X	X	X	X	X	X	X	X	X	AMTs	
Distribute, collect, and analyze pre-program participant surveys		X	X	X	X	X	X	X	X	X	X	X	AMTs; M&E Specialist	Survey monkey
Distribute, collect, and analyze end-of-program participant surveys			X	X	X	X	X	X	X	X	X	X	AMTs; M&E Specialist	Survey monkey
Program Management and Reporting														
Develop and receive approval for annual work plan by USAID (within 60 days)	X	X											COP	
Submit and receive approval for PMP (within 90 days)	X	X	X										M&E Specialist	
Ensure Branding and Marking Plan implemented	X	X	X	X	X	X	X	X	X	X	X	X	COP	
Maintain complete, accurate records (participant and procurement)	X	X	X	X	X	X	X	X	X	X	X	X	Training/PI Spec	
Submit monthly and quarterly reports (technical and financial) as requested	X	X	X	X	X	X	X	X	X	X	X	X	COP	