



USAID
FROM THE AMERICAN PEOPLE



HIV REFORM IN ACTION

GRANTS APPLICANTS HANDBOOK

Deloitte USAID Standard Grants Manual

Part 3

Applying for Grants

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3.1 Introduction and Summary of Project and Grants Program

Deloitte Consulting LLP (“Deloitte”), under a Cooperative Agreement with USAID, executes USAID grants for the specific project. This document provides general information and guidance for organizations interested in applying for a grant under the specific project, including types of grants, types of organizations eligible to receive grants through the program, types of activities that will be considered for grant support, budgetary considerations, grant application options, and key conditions of a grant award.

It is important that potential applicants understand that final approval of grant awards come from USAID; as an agency of the US Government, there are a number of terms and conditions with which any Recipient will have to comply. Applicants will be carefully evaluated during the application process on whether they are able to comply with these conditions.

3.2 Types of Grants

Deloitte considers five types of possible grant awards. Each grant type, summarized in Table 3-1, fills a unique function and purpose in the Project and has specific funding and time limits.

Table 3-1: Types of Grants

Grant Type	Grant Purpose	Maximum Funding Limit	Maximum Time Limit
Mini Grant (Simplified)	Provide funding for stand-alone activities consistent with both Recipient and Project objectives. Activities do not necessarily have to be part of Recipient’s overall long-range plan.	US\$25,000	Up to 90 days
Small Grant (Simplified)	Provide funding for Recipient activities consistent with both Recipient and Project objectives and which contribute to the Recipient’s growth and sustainability.	US\$150,000	Up to 1 year
Program Development Grant (Standard)	Provide funding for Recipient activities consistent with both Recipient and Project objectives, and that contribute to the Recipient’s growth and sustainability as part of its long-range plan.	Generally US\$350,000 but depends on Contract Clause	Up to 2 years
Fixed Amount Award*	Provide fixed amount of funding as Recipient achieves each part of a fixed set of program benchmarks.	US\$500,000/year	Up to 3 years
In- Kind Grants	Uses grant funding to procure tangible assets for grantees.	TBD	TBD - Not to exceed life of the project

* When used appropriately, a Fixed Amount Award provides several advantages for both the Grant team and the recipient. It focuses on outputs and results, limits risk for both parties, and requires only limited financial and management capacity. Appropriate activities for Fixed Amount Awards include, but are not limited to: Conferences; Studies; Surveys; Workshops; Policy papers; Disaster or humanitarian relief and assistance and/or Technical development assistance when costs can be segregated by milestones. In preparing the for Fixed Amount Award Applications, the applicant must provide sufficient cost information for the grants team to negotiate milestones as well as ensure that the total Fixed Amount Award amount is a reasonable and realistic indication of the actual cost of the effort. A thorough and reasonable cost analysis of the activity is critical to the successful use of the Fixed Amount Award mechanism.

3.3 Announcements of Grant Opportunities

Deloitte will use a variety of methods to announce the project grant opportunities.

- **Annual Grant Program Statements (APS).** Each year, the project may announce its overall expected program of activities for the coming period. Organizations may wish to use this statement to evaluate their own plans for the period to determine if there is an overlap.
- **Calls for Concept Papers.** Deloitte may request from interested organizations summaries of ideas for activities that could be funded by a USAID grant executed by Deloitte in connection with implemented project. Often the Call for Concept Papers will include specific areas in which the project is seeking ideas for grant activities. Successful concepts will be developed into full applications.
- **Requests for Grant Applications (RFAs).** Deloitte may compete grant opportunities through a Request for Applications. Deloitte, based on selection criteria approved by USAID and subject to other considerations, will evaluate grant applications and propose potential grant recipients to USAID for its approval.

In all cases, organizations are reminded that grant concepts should track closely to the project's stated goals and objectives as outlined in the first paragraph of this section.

Announcements of project grant opportunities may include any or all of the following public awareness mechanisms:

- Newspaper ads
- Radio program ads
- Email distribution lists
- Conferences, meetings, workshops, or other events
- Government coordinating bodies
- Networks and member associations
- Other suitable mechanisms

The announcement will generally describe the purpose and focus of the grant program, eligibility requirements, the timeline and process, criteria against which submissions will be judged, and where to find additional information.

Announcement of grant opportunities does not constitute any award promise or commitment on the part of Deloitte (or any member of Deloitte Touche Tohmatsu Limited, or any of their affiliates), The project, or USAID, nor does it commit Deloitte (or any member of Deloitte Touche Tohmatsu Limited, or any of their affiliates), Deloitte, or USAID to pay for any costs incurred in the preparation and submission of a grant application or concept paper. All costs associated with the preparation and submission of any concept paper or grant application, as well as any other pre-award grant costs, are the applicant's responsibility and expense.

3.4 Eligibility of Grant Applicants

"Eligibility Criteria" will be included in individual Requests for Concept Papers, and Requests for Applications; there are three sets of general eligibility criteria, relating to:

- Organizations that are eligible to apply for a grant
- Types of projects and activities eligible for support
- Budget and cost share considerations

3.4.1 Eligible and Ineligible Organizations

Non-U.S. nongovernmental organizations (for profit or nonprofit) are **eligible organizations** for grant awards. For example, these may include:

- Non-Government Organizations (NGOs)
- Professional organizations
- Research institutions
- Commercial organizations

Additional eligibility criteria for organizations may be included in the formal grant announcement or request for applications. These additional criteria may include, without limitation, the following:

- The organization must have demonstrated experience in technical areas relevant to the scope of work or grant focus.
- The organization must have been in existence for more than 1 year or as specified in each grant solicitation.
- The organization must currently be implementing activities in the geographic area or technical area for which it is submitting an application.
- The organization has a Board of Directors/ Board of Trustees, at least 2-5 full time staff (including program management, finance/administrative, and monitoring and evaluation staff).
- The organization has minimum absorptive capacity and demonstrates the potential to acquire sufficient capacity to manage programs in a sustainable manner.
- The organization has a functional financial system.
- The organization's other relationships, associations, activities, and interests do not create a conflict of interest that could prevent full impartiality in implementation of the grant activities.
- Effective October 1, 2010 DUNS numbers are required for all organizations, foreign or domestic doing business with the Federal Government. Recipients of grant awards in excess of \$25,000 will be required to obtain a Data Universal Numbering System (DUNS) Number.

The following are **ineligible** for grant awards:

- Governmental entities or officials (whether from national, regional, district, local or municipal levels, etc.)¹
- Individuals
- Political organizations

Grants may not be used for religious activities; religious organizations may be eligible if the proposed grant activity is consistent with the Project objectives. State-sponsored universities may be eligible if their charters allow the receipt of grant funds.

If an organization or its key personnel, shareholders, directors or partners appear on any of the following lists, it is automatically ineligible to receive a grant:

- The Specially Designated Nationals (SDN) List administered by the Department of Treasury's Office of Foreign Assets Control (OFAC) <http://www.ustreas.gov/offices/enforcement/ofac/sdn/>
- Department of State: <http://www.state.gov/j/ct/list/index.htm>

¹ Grants may be awarded to Local Governments and other regional, district or local level entities) when mandated by the Prime Contract.

- Foreign Terrorist Organization List (FTO): <http://www.state.gov/j/ct/rls/other/des/123085.htm>
- Terrorist Exclusion List (TEL): <http://www.state.gov/j/ct/rls/other/des/123086.htm>
- Executive Order 13224: <http://www.state.gov/j/ct/rls/other/des/122570.htm>
- Terrorism Designation Page: <http://www.state.gov/j/ct/rls/other/des/index.htm>
- Excluded Parties List System: <http://www.sam.gov>.
- United Nations Consolidated List (Resolution 1267): <http://www.un.org/sc/committees/1267/narrative.shtml>

3.4.2 Eligible and Ineligible Types of Projects and Activities

Only grants that contribute to the stated objectives of the project will be considered for funding. Grants selected for award must demonstrate clear and achievable objectives, a realistic work-plan and acceptable timeline within the stated period, and measurable outcomes. An organization's proposed grant activities should tie closely to the organization's own overall mission and strategy and advance its key objectives. Finally, proposed activities under a grant should be able to be reasonably supported by the applicant's existing administrative structure.

Activities that are not eligible for grant funding include, but are not limited to:

- Promotion of political parties, religion, or lobbying
- Fundraising
- Revolving credit funds
- International travel (without specific approval from the Project and USAID)

3.4.3 Cost sharing

To be eligible for a grant award, organizations will be expected to demonstrate they are sharing the costs of the program activity for which they are requesting funding. In grant competitions, the proposed cost share amount will be an evaluation factor and a minimum level of cost share contributions may be required. Recipients are expected to fulfill all cost share commitments.

Cost sharing might include any of the following:

- Labor to carry out grant activities
- Payment of non-labor costs associated with grant activities
- Leveraged funds from other sources (non-US government)
- Equipment and facilities
- In-kind donations

3.5 Applying for Funding

An organization may submit a response to one of the various grant opportunity announcement mechanisms the Grant Program might employ or the organization may submit an unsolicited request for grant funding. Grant opportunity announcements will contain detailed information about the type of response expected from interested organizations, summarized here, and when/where submissions should be made.

3.5.1 Unsolicited Requests

Those organizations that wish to request grant funding without waiting for a specific announcement may do so at any time. However, Deloitte suggests that, in such a case, the organization submit a concept

paper, described below, without investing the time and expense necessary to submit a full application. This will allow the Project to determine if the concept fits within the objectives of its grants program. Unsolicited requests should be sent in electronic form to the Project Grants Administrator. Typically unsolicited requests are evaluated during the next available review cycle but may be held until later if the subject matter deals with an upcoming announcement. Either way, the Project Grants Team will inform the organization of the status and ultimate decision.

3.5.2 Concept Papers

Prior to developing a full grant application, potential Recipients may be asked to submit a concept paper for review and feedback. Developing a concept paper provides potential Recipients with the opportunity to define and refine their thinking about the proposed project or activity and provides the Program review team with an opportunity to see how well the concept aligns with the Project's Program's key objectives and goals.

A concept paper should be short—generally not more than 5 pages. Ideas should be clear, concise, to the point and should provide an overview of what is planned, who will benefit, the results expected. The concept paper should also provide a notional estimate of the proposed budget linked to the components of the activities planned. The suggested Concept Paper outline below is designed to assure that key points have been covered. This summary will form the basis of the grant application should the potential Recipient be invited to the next stage. (A more detailed template is provided in the Appendix 3.1.)

- Cover Page
- Background/Statement of Need
- Goals and Objectives of Proposed Activities
- Summary Description of Proposed Program of Activities
- One page budget summary and Cost Share
- Summary of Organization's Background/Eligibility Materials

3.5.3 Grant Application

In some cases, the Project's grant opportunity announcement may request that an organization submit a full grant application. In other cases, organizations whose concept papers are judged to be in line with the Project objectives may be asked to submit a full grant application. A full grant application should explain in greater detail what the organization proposes to do under the grant and how. The application includes the following sections:

Technical Approach

- Cover Page
- Background/Statement of Need
- Goals and Objectives of Proposed Activities
- Narrative Description of Proposed Program of Activities
- Implementation Timetable
- Monitoring and Evaluation Plan
- Management Plan
- Corporate Capabilities Statement

Cost and Management

- One page budget summary/or Fixed Amount Award Milestones

- Detailed Line Item Budget
- Detailed Cost Share Contribution
- Budget Narrative
- Supporting Data for Cost Estimates (payroll records, vendor invoices, biographical data sheets)
- Organizational Background
- Certificate of Registration or Incorporation
- Financial and Management Responsibility
- Audited Financial Statements
- Mandatory Certifications

(The detailed application is provided in Appendices 3.2, 3.3, 3.4, 3.5, and 3.6.)

Applicants should propose a realistic, reasonable, and justifiable budget necessary to implement the proposed grant activities. There should be a clear link between the project work-plan and the budget. Proposed budgets may include a reasonable amount of support for administrative costs including salaries, benefits, equipment and operational expenses but such costs should not exceed 10% of the total grant budget. All budgets should be calculated in [USD/UAH]; awards will be denominated in US dollars but paid out in local currency.

For Fixed Amount Award management, because payment follows verification of milestone completion, the timing of verification should be planned in the award and conducted in administration of the award in a timely manner so as to assist the recipient in receiving payment as soon after completing milestones as possible. Before administrative approval is provided on a voucher for a completed milestone, the project must verify that the milestone, in fact has been completed. At the time of award, the Grants Administrator must develop an internal verification/monitoring plan that details what is acceptable for verification purposes. Verification may, but does not always have to, include physical confirmation, or an on-site visit either by the Project Team or a 3rd party, for every activity under a milestone. To a limited extent verification may be done by appropriate analysis of written documents (vouchers, training sign-up sheets), photos, videos, or other means designed to ensure activities are satisfactorily completed while at the same time allowing for timely payment to the recipient which then allows them to start work on the next milestone. On-site monitoring should, when feasible, be timed to occur at milestone completion and thus not delay the payment process. Verification for payment purposes must be documented sufficiently for programmatic audit purposes.

Since Fixed Amount Award payments are for fixed-amount milestones, Deloitte does not need to, and in fact should not, attempt to verify that the recipient incurred the costs as estimated in making the award. Any actual differences between the estimated costs used to set the milestone payments and recipient's actual incurred costs cannot be used to adjust the agreed upon amount for the milestone. The documentation required for payment relates to proof that the milestone was completed in the manner of verification required in the Fixed Amount Award. The specifics of required documentation or verification should be provided in the milestones themselves and detailed in the program description.

Depending on the activities funded and milestones established by the Fixed Amount Award, a recipient may procure equipment or personal property in order to accomplish a milestone. The recipient may not procure real property under a Fixed Amount Award. The distinction between whether purchase of the equipment or personal property is a milestone or is one possible means by which the recipient may accomplish a milestone is important for certain aspects of the award. Unless a milestone is itself the purchase of the equipment or personal property, milestones must not list equipment or personal property a recipient may potentially purchase to accomplish the milestone, but the costs of such equipment or personal property may be included in the budget from which milestone payment amounts are estimated

and negotiated. Regardless of whether the equipment or personal property is listed in or as a milestone, the Fixed Amount Award must state that title to the equipment or personal property vests in the recipient upon acquisition with the condition that the recipient must use the equipment or personal property for the grant as long as it is needed for such.

At a minimum, applicants should submit the following information to allow the Project to make a determination of financial and management responsibility: (1) organizational chart or other form of organizational overview; (2) completed Pre-Award Survey document; (3) documentation that the applicant has the ability to comply with the award conditions (i.e., audit reports, supporting financial documentation); (4) documentation to demonstrate the applicant's ability to segregate funds obtained from the award of the project grant from other activities of the organization (note: a separate bank account is required should the Recipient receive advance payments); and (5) required Certifications and Representations.

The applicant must submit the following Standard Grant & Subcontractor Certifications which are required by Deloitte and USAID:

- Certification Regarding Terrorist Financing
- The Anti-Terrorism Certification (ATC)
- Key Individual Certification - Narcotics Offenses and Drug Trafficking
- Certification Regarding Debarment, Suspension, Ineligibility And Voluntary Exclusion – Lower Tier Covered Transactions Recipients will be required to sign and comply with the content of the above certifications as a part of the grant agreement once funding is approved.
- Non-US Recipient Certificate of Compliance

3.5.4 Evaluations

All submissions will be reviewed to check for eligibility and completeness of the submission. All eligible and complete submissions will be reviewed by a Grant evaluation committee. The evaluation will include whether the proposed activities further the Project's overall goals and objectives. Grant evaluation committees will adhere to a number of guidelines and processes agreed with USAID to avoid potential conflicts of interest and lack of transparency, and to support fair, objective, and consistent review of all applications.

After a submission has been reviewed and evaluated, the Grants Team will notify the organization of the decision. Submissions that are not selected for funding may not be revised and resubmitted. Submissions recommended for funding must be finalized and all review comments and questions must be addressed to the satisfaction of the Panel. Applicants may be required to provide additional information and certifications and other statements to ensure the organization has adequate management and financial systems in place and is otherwise a responsible organization.

Possible recommendations may include:	Possible conditions may include:
<ul style="list-style-type: none"> • Fully fund the project • Partially fund the project • Fully fund the project, with conditions • Partially fund the project, with conditions • Not fund the project 	<ul style="list-style-type: none"> • Financial or programmatic grants management technical assistance before or during the period of the grant • Amendments to technical areas of the grant • Amendments to the budget • Requirements for additional information prior to the start of the grant period • Any other conditions deemed necessary

The Grants Team will work with applicants to reasonably facilitate the grant application process and educate the applicants on grant compliance requirements before the grant is awarded. The Grants Team will report to the Project Chief of Party (COP) on this compliance.

All proposed Recipients, grant scopes of work and award amounts must be submitted to USAID for approval. In addition, the applicant may be required to make a formal presentation of their proposed project to USAID. An award will only be made with USAID approval. Applicants should be aware that USAID reserves the right to terminate a grant after award.

3.5.5 Pre-award Survey

A due diligence review of the applicant organization is performed as part of the evaluation process. The Project will ask applicants to complete a pre-award survey (see Appendix 3.7) so that the Project may assess whether a potential recipient is able to successfully comply with the financial, management and programmatic requirements of the grant. The potential recipient should be a registered entity and should have an accounting and management system that allows it to produce both accurate and current financial records, and to properly account for all equipment purchased with government funds provided by the project. The recipient should also have sufficient financial and managerial strength to operate successfully and complete the work for which it has been awarded a grant. Potential recipients may be asked to provide information reasonably required by the Project to perform this due diligence. In addition, potential recipients may have to provide any appropriate pre-award certifications, assurances and other statements that may be reasonably requested by the Project. The pre-award review will also include a potential recipient's check against various lists of entities and individuals who are restricted from receiving U.S. federal funding and a conflict of interest and independence check.

Before a final award determination is made, the Grants Team may conduct an on-site review of an applicant organization to review the organizational policies and procedures and determine whether they meet the stringent requirements for accounting for grant funds under a USAID-funded grants program. The Grants Administrator will review answers to the Pre-Award Survey, as well as other pertinent financial documents, to evaluate the applicant's capacity to comply with the accounting and financial reporting under a USAID-funded grants program. If the Grants Administrator determines that an applicant organization demonstrates a weakness in its grants management capacity, s/he will note this and may recommend corrective measures.

For Fixed Amount Award the Grants team will use the Fixed Amount Award Entity Eligibility Checklist (Attachment 3.9) to assess the applicant's capacity and capability for accomplishing the milestones and the applicant should carefully review the information requested.

3.5.6 Presentation to / Approval by USAID

As noted, the project staff must obtain USAID's approval prior to making any grant award. USAID may request an oral presentation by the potential Recipient in order to get a fuller picture of the proposed activity and the Recipient's organization. Should USAID request such a presentation, the Project will work with the Recipient to summarize the proposed activity into a standard presentation (see Appendix 3.8.).

3.6 Award / Terms and Conditions

The grant award document sets forth the terms and conditions applicable to the Recipient's grant. The grant award document will be issued to the Recipient upon USAID's approval of the award. Once signed

by the Recipient, the grant award document becomes binding on the Recipient. Grant terms and conditions set forth in the grant award document may be enforced by USAID or by Deloitte.

Upon finalization, the Grants Administrator will arrange for a kick-off meeting with the Recipient.

USAID grants are subject to a number of conditions with which the Recipient will need to become familiar with. Recipients must comply with the terms and conditions of the grant specified in the grant award document. In addition, Recipients should understand USAID grants conditions that USAID posts on its website at the following address: <http://www.usaid.gov/policy/ads/300/303mab.pdf>. Among the provisions:

- **Records retention.** Recipients must keep the accounting books and other records supporting the grant for 3 years from the end-date of the grant.
- **Audits.** If a Recipient receives more than US \$300,000 in a single year, it must pay for and have an audit carried out in accordance with US Government audit guidelines.
- **Separate Bank Accounts.** For some types of grants, the Recipient must establish a separate bank account solely for use of grant funds.
- **Budgets.** Changes to the approved budget must be approved by the Project, who may need to seek USAID approval.
- **Termination.** USAID may direct Deloitte to terminate the Grant at any time.
- **Branding and Marking.** Deliverables, including event announcements and materials must be marked with the appropriate USAID logo and/or legend.
- **Procurement.** Procurement of some goods and services and equipment is prohibited or restricted.
- **Source and Origin.** Nationality restrictions as to the source or origin of goods or services procured with Grant funds may apply.

3.7 Project Contact Information

NAME	TELEPHONE	EMAIL
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Appendices for Section 3

- 3.1 Concept Paper Template
- 3.2 Application for Grant Template
- 3.3 Application Budget Template
- 3.4 Application Budget Notes Template
- 3.5 Application Workplan Template
- 3.6 Application M&E Plan Template
- 3.7 Grant Presentation Template
- 3.8 Pre-award Questionnaire Template
- 3.9. Fixed Amount Award Entity Eligibility Checklist
- 3.10. Grant Award Template

Section 3 Appendices

3.1 Concept Paper Guidelines

USAID-[NAME OF PROJECT]

Grant Concept Paper Guidelines

Purpose: Prior to developing a full grant application, potential grantees are to submit a concept paper for review and feedback. Developing a concept paper provides potential grantees with the opportunity to define and refine their thinking about the proposed project or activity and provides the Program review team with an opportunity to see how well the concept aligns with the USAID HIV Reform in Action Project key objectives and goals.

A concept paper should be short – not more than 5 pages. Ideas should be clear, concise, to the point and provide an overview of what is planned, who will benefit, the results expected and a notional estimate of the proposed budget linked to the components of the activities planned. Below is a suggested outline for the concept paper and is designed to assure that key points have been covered. This summary will form the basis of the grant application should the Grantee be invited to the next stage.

- I. Abstract of Proposed Grant Activity (1 page):**
 - A. One line description of the proposed grant Activity
 - B. Summary of the Objectives of the Activity and why the Activity is needed
- II. Summary of how will the Activity be carried out**
 - C. Summary of the impacts of the Activity implementation .
- III. Description of Proposed Grant Activity**
 - A. Description of the Objectives of the Activity and why the Activity is needed
 - B. Description how will the Activity be carried out
 - What is the approach to the Activity?
 - Who will carry out Activities (Identify project team and other relevant stakeholders)?
 - What is the location and timeframe of Activity?
 - C. Description of the impacts of the Activity implementation (for example):
 - Number of direct/indirect beneficiaries
 - Number of jobs created
 - Increase in revenue
 - D. Description of Reporting and Monitoring plan to be used during the grant.
- IV. Post Grant Sustainability:**
 - A. How will the Grantee sustain the impact of the grant Activity after the grant is closed?
 - B. How will the Grantee report on results after the grant period is over?
- V. Background**
 - A. Brief background on your organization, including:

Concept Paper Guidelines, Page 2 of 2

- Full legal name of the organization
- Is the organization public or private?
- Who is the organization’s auditor?
- Where is the organization currently headquartered (address)?
- Is organization owned by a parent company?
- Does the organization have any subsidiaries or own 5%, or more, of any other entity?
- Is the organization or any subsidiary an audit client of Deloitte?

- Are there any owners/shareholders of the organization that own 5% or more of the organization?
 - If yes, please list the owners and their percentage owned.
 - Also, please list any other entities which the shareholder controls (greater than 50 percent ownership or voting rights) and, if the shareholder is an individual, list any other entities in which this shareholder serves as an officer or director.
- B. Discussion of your organization's prior experience related to this Activity or U.S. government funded grants

VI. Budget (see sample)

- One Page Summary
- Budget Detailed Line Item Budget (including # of Units, Unit Costs, Subtotals)
- Cost Sharing and Third Party Contributions

3.2 Applicant for Grant Template



Application Form for Grants

Date: _____

Grants Manager

USAID [Name of Project]

[Address of Project]

Subject: Grant Application

With this letter and attachments, _____ (*insert organization name*) is applying for a grant from the USAID [Name of Project].

We are requesting a grant to: (*insert one sentence description*)

The total value of our grant Request is \$_____.

We are applying for:

- Mini-Grant (limited to \$25,000 and 90 days duration)
- Small Grant (limited to \$25,000 and usually one year duration)
- Fixed Amount Award
- Program Development Grant
- In-kind Grant

The estimated **start** date for proposed project/activity: _____.

The estimated **end** date for proposed project/activity: _____.

This application consists of the following materials.

Attachment 1	Technical Application	Applicant for Grant Template, Page 2 of 6
	Annex A. Project Organogram	
	Annex B. CV of Project Manager	
	Annex C. Project Work-plan (use template provided)	
	Annex D. M&E Performance Monitoring (use template provided)	
Attachment 2	Budget and Budget Notes (use templates provided)	
Attachment 3	Information about Applicant	
Attachment 4	Certification from Applicant	

Sincerely,

(Name)

(Title)

(Organization)

ATTACHMENT 1
TECHNICAL DESCRIPTION

[Follow RFA Instructions or provide project description along following lines.]

- Cover Page
- Background/Statement of Need
- Goals and Objectives of Proposed Activities
- Narrative Description of Proposed Program of Activities
- Implementation Timetable
- Monitoring and Evaluation Plan/Milestones for Fixed Amount Award
- Management Plan
- Corporate Capabilities Statement

ATTACHMENT 2
COST AND MANAGEMENT APPLICATION

- One page budget summary
- Detailed Line Item Budget
- Detailed Cost Share Contribution
- Budget Narrative
- Supporting Data for Cost Estimates (payroll records, vendor invoices, biographical data sheets)
- Organizational Background
- Certificate of Registration or Incorporation
- Financial and Management Responsibility
- Audited Financial Statements
- Mandatory Certifications

GRANT APPLICANT DATA SHEET		
Name of Entity	:	
Mailing Address	:	
Street Address	:	
Telephone	:	
Fax	:	
Mobile	:	
Point of Contact Name	:	
POC Title	:	
Email	:	
Date Established	:	
Type of Entity	:	
Legal Status	:	
Entity's Auditor	:	
Owned by a parent company?	:	
Subsidiaries or own 5%, or more, of any other entity?	:	
Is the Entity or any subsidiary an audit client of Deloitte?	:	
Are there any owners/shareholders of the Entity that own 5%, or more of another Entity? If yes, please list the owners and their percentage owned. Also, please list any other entities which the shareholder controls and if the shareholder is an individual, list any other entities in which this shareholder serves as an officer	:	
Fiscal Year Period	:	
Computerized Accounting System?	:	
If Association	:	
Dues basis	:	
# Members	:	
# who are current with dues	:	

CERTIFICATION FROM ORGANIZATION

- a. Our organization has received a copy of the Program’s Grant Recipient Handbook and our organization’s board and senior management have read and understood its contents.
- b. Our organization has not received any funding from the Program for the preparation of this Application.
- c. Our organization has no advances from USAID or a USAID contractor which have been outstanding and un-liquidated for longer than 90 days, and that our organization has no grant completion report required under a grant from USAID or a USAID contractor which is more than 30 days past due.
- d. At the time of application there exists no condition within our organization or with respect to our organization’s management which renders the organization ineligible for a grant directly or indirectly funded by USAID.
- e. If this is an application for a Mini-Grant, we hereby certify that we are not requesting funding for any of the following:
1. international travel
 2. commodities that have a useful life of greater than one year or that cost more than \$5,000
 3. indirect costs of our organization
- f. If this is an application for a Small Grant, we have described as part of the proposed Project/Activity the specific costs that may be related to one or both of the following:
1. international travel
 2. commodities that have a useful life of greater than one year or that cost more than \$5,000
 - 3.
- g. and we hereby certify that we are not requesting funding for any indirect organizational costs and that we have the resources to fully fund our contribution to the total cost of the proposed activities.
- h. In order to demonstrate our organization’s eligibility, we have attached (choose all that apply):
- A copy of our organization’s formal registration as evidence of our legal status.
- One or more copies of board of directors resolutions, strategic plans (overall long-range plan for beneficiary’s organization) or other documentation indicating our organization’s managerial commitment to implementing objectives that are consistent with grant application.
- A copy of our organization chart

By affixing my signature below, I certify that the above statements are true and may be relied upon by the USAID HIV Reform in Action Project in determining eligibility for grant award.

Organization Name	Signatory Name, Title	Date
--------------------------	------------------------------	-------------

3.3 Application Budget Template*

Organization Name			
Project Title:			
Period of Performance: Start Date - End Date			
Cost			
Budget Item	Name of Entity	Grant Funds	Other sources
I. SALARIES AND WAGES		0	
II. FRINGE BENEFITS		0	
III. CONSULTANTS		0	
IV. TRAVEL AND TRANSPORTATION		0	
V. OTHER DIRECT COSTS		0	
VI. EQUIPMENT		0	
VII. TOTAL GRANT BUDGET		0	0
Total Program Budget			0

For Fixed Amount Award Applications use Application Budget Template under 3.3.1

3.3.1 Fixed Amount Award Budget

Organization Name							
Project Title:							
Period of Performance: Start Date - End Date							
		Cost					
		Grant Y1		Grant Y2		Grant Total	
Budget Item	Name of Organization for other sources						
		Grant Funds	Other sources	Grant Funds	Other sources	Grant Funds	Other sources
I. Milestone 1 [Name]		0		0		0	
II. Milestone 2 [Name]		0		0		0	
III. Milestone 3 [Name]		0		0		0	
IV. Milestone 4 [Name]		0		0		0	
V. Milestone 5 [Name]		0		0		0	
VIII. TOTAL GRANT BUDGET		0	0	0	0	0	0
Total Program Budget							

3.4 Application Budget Notes Template

HIV Reform in Action
Project
RFA for [Name of Grant]
[Date]

Attachment 4

[Note: The purpose of budget notes is to help proposal/grant review committees better understand the organization's budget, specifically the rationale for unit costs and quantities. Use this template to guide the development of your budget notes. Examples have been highlighted in green. Areas for input have been highlighted in yellow; add additional information as necessary to clarify your budget inputs, and delete information that is not relevant to your budget.]

[Organization Name]

BUDGET NARRATIVE

[RFA #/Project Title]

Performance Period: [start date – end date]

Introduction

[Organization Name] is pleased to provide this budget narrative for the above-referenced project to describe the rationale for our budget. Costs presented in our budget reflect our proposed scope of work, as outlined in the Project Description, and are based on our experience implementing projects with a similar scope and duration. We are happy to provide any additional information or support upon request.

Detailed Budget Comments (Use one of the two options: for Fixed Amount Award or Other than Fixed Amount Award)

Fixed obligation grants: For fixed obligation grant budgets the budget application is the financial summary form (Annex A7), which presents the budget by tranche payments for costs associated with achieving proposed milestones. Although Fixed Amount Awards cannot cover indirect costs, grant funding can cover direct costs that will be incurred by the recipient to provide identifiable administrative and management support to the activity.

Setting Milestones and Structuring Payments

Milestones are for a verifiable product, task, deliverable, or goal of the recipient. The milestones will generally have three parts: (1) a description of the product, task, deliverable, or goal to be accomplished; (2) a description of how the recipient will document the completion of the product, task, deliverable, or goal; and (3) the amount that USAID will pay the recipient for the deliverable. Some milestones may also have dates indicating when the milestone is expected or required to be completed. However, depending on the nature of the activities in the award, a milestone date may not be necessary or appropriate and/or milestone completion may or may not be sequential when dates are estimated/required. Additional Guidance on Fixed Amount Award Milestones may be found in USAID's "Awarding Fixed Obligation Grants to Non-Governmental Organizations: Ar

[Application Budget Notes Template, Page 2 of 5](#)

Other than Fixed Amount Award:

1. SALARIES AND WAGES

All salaries presented in this budget are **base rates** and do not include any fringe benefits. All positions that will contribute to this project are described in the table below. We have provided a copy of our **current payroll register** to support the salary rates for current staff named in this budget. We have provided a signed copy of a **completed bio-data (1420) form** to support the salary rates of proposed staff that are named in the budget but not yet employed by our organization. For those positions where a specific individual has not been named, we have budgeted salary rates based on [describe justification for proposed rate and list support documentation included in the annex]. We have included **CVs** of the project manager to demonstrate his/her capacity to meet the responsibilities of the positions.

Position Title	Name	Level of Effort	Responsibilities	Rate Justification
Project Manager	Charles Smith	100% (12 months)	Oversee implementation of project activities; supervise staff; liaise with AED	Bio-data (1420) form
Finance Manager	John Adams	25% (3 months)	Manage financial systems; oversee project spending; ensure expenses are in line with project budget and follow organization and AED policies	Current payroll register

2. FRINGE BENEFITS

Our organization offers Fringe Benefits to [e.g. all staff, only full time staff, both staff and volunteers, others?] based on [e.g. applicable local and national labor laws, organization HR manual, other?]. We have included a copy of these documents as an Annex. Our organization's benefits are described in the table below.

Benefit	Description	Rate Justification
Medical Insurance	Xxxx	Quote attached
Gratuity	Xxxx	Organization policy

The Fringe Benefits for staff working on this project are calculated according to [describe your calculation of fringe benefits].

3. CONSULTANTS

We anticipate that we will need [XX#] consultants to support this project. The role of each consultant is described in the table below.

Consultant	Role/Responsibility	# of persons & days	Rate Justification
Education Trainer	Conduct a 3 day workshop to train peer educators	1 person x 5 days	Bio-data (1420) form
Technical expert	Provide technical support on [describe the area] 5 days a month	15 persons x 5 days x 12 months	Stipend rate dictated by organization policy

4. TRAVEL AND TRANSPORTATION

Travel and Transportation costs for staff are estimated according to the anticipated scope of work and our previous experience on similar projects.

Rates for **air travel** are based on [e.g. economy class fares] and supported by quotes attached to this proposal. Rates for **ground transportation (taxis and hired cars)** are based on [describe rationale for unit cost]. Rates for **ground transport (personal vehicles)** are based on [describe rationale for unit cost].

Per diem rates are based on [e.g. organization policy, local government rates, US Government standard rates, etc.]. Our organization provides per diem to [list those who receive per diem: e.g. staff on travel, volunteers, participants at workshops, etc.]

We anticipate that we will need to take the following trips to support the project:

Air travel:

[X # of person(s)] will travel by air from [origin] to [destination] in order to [describe purpose of trip].

[X # of person(s)] will travel by air from [origin] to [destination] in order to [describe purpose of trip].

Ground Transportation:

[X # of person(s)] will travel by taxi or hired car from [origin] to [destination] in order to [describe purpose of trip].

[X # of person(s)] will travel by personal vehicle from [origin] to [destination] in order to [describe purpose of trip].

[X # of person(s)] will travel by project vehicle from [origin] to [destination] in order to [describe purpose of trip].

5. OTHER DIRECT COSTS

Many of the expenses budgeted in this category are general operating expenses that are shared across several projects implemented by the organization. In these cases, we have budgeted for a percentage of these costs (X%) to be charged to this project. This percent is based on the following calculation: [describe calculation or justification].

Office Rent: The organization has an office located in [XXX place(s)] where staff working on this project will be based. The total [monthly/yearly] rent for the organization's offices spaces is [X \$ amount], as documented in the [indicate the documentation provided] included in the Annex. X% of this total amount

has been charged to the project based on [calculation for shared expenses listed above, or describe other justification for %].

Office Utilities: The organization pays for utilities including [e.g. electricity, water, etc.] on a [monthly/quarterly/yearly] basis, as documented in the [indicate the documentation provided] included in the Annex. We have budgeted \$X for utilities per [month/quarter/year] for this project, based on the following calculation: [describe calculation or justification]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Office Supplies: We have budgeted for general office supplies that will be required for day to day management and implementation of this project specifically. These supplies include: [list items, e.g. paper, toner, binders, flipcharts, pens]. The total [monthly/yearly] cost for the organization’s office supplies is [X \$ amount], as documented in the [indicate the documentation provided] included in the Annex. X% of this total amount has been charged to the project based on [calculation for shared expenses listed above, or describe other justification for %]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Postage, Delivery, Courier: We have budgeted funds to cover the costs for regular postage, delivery/courier of financial reports or other materials required over the course of the project. The budgeted rate is based on [describe justification for rate] and supported by [describe documentation to support rate]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Printing Materials: We have budget funds to cover printing/reproduction of materials for day to day project operations. The budgeted rate is based on [describe justification for rate] and supported by [describe documentation to support rate]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Communications: We have budgeted funds to cover communication expenses for [e.g. internet, telephone, fax]. The budgeted rate is based on [describe justification for rate] and supported by [describe documentation to support rate]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Bank Fees: We have budgeted funds to cover bank fees associated with the project. The budgeted rate is based on [describe justification for rate] and supported by [describe documentation to support rate]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Audit Costs: We have budgeted funds to costs of an audit. The budgeted rate is based on [describe justification for rate] and supported by [describe documentation to support rate]. Costs are budgeted on a [monthly/quarterly/one time] basis over the life of the project.

Activities and Events: [Describe all costs for each activity and event proposed in the budget and proposal]

6. EQUIPMENT

We have budgeted for the purchase of the equipment that is required for implementation of this project. The justification for each piece of equipment is included in the table below. The unit costs for each piece of equipment are based on vendor quotes and are attached.

Equipment	Justification/Use for project activities

7. SUBCONTRACTS

Our organization will award [subgrants/subcontracts] to X# organizations. The role of each organization and the anticipated funding amount is listed in the table below.

Organization	Description of Scope of Work	Anticipated amount	funding

3.5 Application Workplan Template

[Name of Project]
RFA for [Name of Grant]
[Date]

Attachment 1

Workplan Template

- Complete the table below and indicate when each activity will be implemented.
- Include project activities and action items from your organization's Capacity Building Action Plan.

Activity	2014									2015		
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar

3.6 Application Monitoring & Evaluation Plan Template

HIV Reform in Action Project

RFA for [Name of Grant]

[Date]

Attachment 2: Monitoring & Evaluation Plan Template

- Provide a narrative description of how the project will be monitored and evaluated.
- Provide a narrative description of how the organization will use monitoring data to guide programming decisions and interventions.
- Complete the table below and include clear targets and indicators to measure progress. Include project activities and action items from your organization's Capacity Building Action Plan.

Activity	Performance Indicator	Target	Data Source	Data Collection Method	Frequency	Data Verification Plan
Activity 1.1						
Activity 1.2						
Activity 1.3						

3.7 Grants Presentation Template



Proposed Grant Title

Grant Application Form
(Grantee)

Date: _____

1. Abstract of Grant Activity

A. One line description: Under this grant, (grantee) will do X, Y, Z (the major grant activities)

Why is this Activity needed?

B. Objectives:

1. This grant Activity will support the SOW by addressing this constraint through:
 - a.
 - b.
 - c.



Abstract of Grant Activity *(continued)*

C. This grant Activity will be carried out:

1. By *(Summary description of approach)*
2. By the following Team members and stakeholders
 -
 -
 - Etc...
3. In (location) during the period (_____)

D. The grant Activity will have the following impacts:



Abstract of Grant Activity *(continued)*

E. We will monitor the impact of grant Activity by:

F. We will report on these impacts in the following way:

1. We will report to Deloitte every *(Frequency)*
2. We will report the impact through *(how will you gather the information)*



Narrative of Grant Approach & Activity

Attachment of not more than 3 pages organized by Abstract topics (*concept paper*)



2. Sustainability Plan

A. How will the grantee sustain the impact of the grant Activity after the grant is closed?
(Describe)

B. How will the grantee report on results after the grant period is over?
(Describe)



3. Background

- A. Brief background on grantee:
 - 1. Date Established
 - 2. Type of Organization
 - 3. Legal Status
- B. If Association:
 - Dues Basis
 - # Members
 - # Current with Dues
 - Annual Revenue
- C. If NGO:
 - Sources of Funding
 - Annual Revenue
 - Annual Programs Funded
- D. If Private Firm:
 - No. of employees
 - Annual Revenue

- E. Prior experience related to this grant Activity



Budget *B. Budget Details*

Appendix D

Budget Summary

Use this template for the budget summary

Organization:
Purpose:
Date:

Item	Cost (JD)	SABEQ	Organization	Other Sources	Grand Total
* Personnel					
Technical Assistance and Training					
Program Activity Expenses					
Equipment					
Travel and Transportation					
Other Direct Costs					
Indirect Costs (Program Development Grants Only)					
Define Other Sources:					
Sub-Totals					

* all personnel daily rates should reflect biodatas and will be paid accordingly





Thank you!

3.8 Pre-award Questionnaire Template

MANAGEMENT QUESTIONNAIRE

**For
Grantee Evaluation
Under**

HIV Reform in Action Project

Accepting a grant from the **HIV Reform in Action Project** creates a legal duty for the awardee to use the funds in accordance with the requirements of the **HIV Reform in Action Project** agreement and United States federal regulations. Prior to making an award, **HIV Reform in Action Project** must assess the adequacy of the financial and accounting systems of a prospective grantee to ensure responsibility and accountability if an award is made.

In filling out the Questionnaire, each question should be answered as completely as possible, using extra pages if necessary. Please return your completed questionnaire to **[Name of project]**.

Complete the questionnaire and checklist on page 7, sign and return it (along with any attachments) to [Name of project].

If you have questions, please contact: _____

CONTACT INFORMATION

Please complete this section with information on how we can communicate with each other.

Legal Name of Organization (that will sign the grant agreement and accept responsibility for HIV Reform in Action Project funds):	
Mailing Address:	
Street Address: (used for express delivery)	
Telephone:	
Fax Number:	
E-mail:	

To help us communicate with your organization, please indicate your current capabilities and preferences below. Paper copies will always be available and can be sent by fax, mail or courier service.

- Does your organization have the computer capability needed to receive documents sent by e-mail?
Yes: ___ No: ___

2. Please check the software programs you can receive documents in by email:

Excel ___ Lotus ___ MSWord ___ WordPerfect ___

SECTION A: General Information

1. Does your organization have the computer capability needed to receive documents sent by e-mail?

2. Is your organization incorporated or legally registered?

Yes: ___ No: ___ (Explain)

3. When and where was your organization incorporated or registered?

4. Please provide copies of any materials which describe your organization, its mission and history.

Enclosed: ___ Not Enclosed: ___ (Explain)

5. Is your organization affiliated with any other organization (governmental, quasi-governmental, public or private) ?

Yes: ___ No: ___

If yes, please provide details:

6. Please list the names of your organization’s officers and provide an organizational chart, if available.

President/Director: _____

Chief Financial Officer: _____

7. List the number of employees your organization has:

Full-Time Employees: _____ Part-Time Employees: _____ Volunteers: _____

8. Will your organization have other sources of U.S. government funds (such as USAID, OTI, or USIA/USIS) during the period of the HIV Reform in Action Project grant?

Yes : __ No: __

8a. If yes, please provide the name of the U.S. federal agency or agencies, the grant period and amount of funds provided.

9. Will you receive support from non-U.S. government sources during the grant period?

Yes : __ No: __

9a. If yes, please provide an estimate of all significant (more than 5% of your total expected revenues) support you expect to receive and include both monetary and non-monetary (equipment, free services) amounts to support your program.

Source: _____ Support: _____

Source: _____ Support: _____

Source: _____ Support: _____

SECTION B: Internal Controls

Internal controls are procedures that ensure:

- 1) financial transactions are approved by an authorized individual and follow laws, regulations and the organization's policies,
- 2) assets are kept safely,
- 3) accounting records are complete, accurate and kept on a regular basis.

Please complete the following questions concerning your organization's internal controls:

1. List the name, position/title, and telephone number for the individuals responsible for checking expenditures to make sure they are allowable:

2. Responsible for maintaining accounting records: _____

3. Responsible for preparing financial reports: _____

4. Responsible for preparing narrative reports: _____

5. Are timesheets kept for each paid employee?

Yes: __ No: __

6. Is your organization familiar with U.S. government regulations concerning costs which can be charged to U.S. grants (OMB Circular A-122 "Cost Principles for Nonprofit Organizations" or OMB Circular A-21 "Cost Principles for Educational Institutions")?

Yes: __ No: __

SECTION C: Accounting System

The purpose of an accounting system is to 1) accurately record all financial transactions, 2) ensure that all financial transactions are supported by invoices, timesheets and other documentation, and 3) ensure that transactions can be segregated if project specific cost reporting is required or if any final determinations might be necessary and are based on costs incurred. The type of accounting system often depends on the size of the organization. Some organizations may have computerized accounting systems, while others use a manual system to record each transaction in a ledger. In either case, **HIV Reform in Action Project** grant funds must be properly authorized, used for the intended purpose and recorded in an organized and regular manner.

1. Briefly describe your organization's accounting system including: a) any manual ledgers used to record transactions (general ledger, cash disbursements ledger, suppliers ledger etc.); b) any computerized accounting system used (please indicate the name); and c) how transactions are summarized in financial reports, (by the period, project, cost categories)?

2. Does your organization have written accounting policies and procedures?

Yes: __ No: __

3. Are your financial reports prepared on a:

Cash basis: __ Accrual basis: __ (Accrual - bill for costs before they are incurred)

4. Can your accounting records separate the receipts and payments of the HIV Reform in Action Project grant from the receipts and payments of your organization's other activities?

Yes: __ No: __

5. Can your accounting records summarize expenditures from the HIV Reform in Action Project grant according to different budget categories such as salaries, rent, supplies and equipment?

Yes: __ No: __

6. How do you allocate costs that are "shared" by different funding sources, such as rent, utilities, etc.?

7. How often are financial reports prepared?

Monthly: __ Quarterly: __ Annually: __ Not Prepared: __ (explain)

8. How often do you input entries into the financial system?

a. daily __ b. weekly __ c. monthly __ d. ad hoc/as needed __

9. How often do you do a cash reconciliation? Pre-award Questionnaire Template, Page 5 of 9
 a. daily ___ b. weekly ___ c. monthly ___ d. by accountant=s decision ___

10. Do you keep invoices, vouchers and timesheets for all payments made from grant funds?
 Yes:___ No: ___

SECTION D: Funds Control

HIV Reform in Action Project awardees often receive some form of advance payments and therefore must maintain a separate bank account registered in the name of the organization for the purpose of safeguarding these funds. The bank account may be in local currency or U.S. dollars depending upon local requirements. Access to the bank account must be limited to authorized individuals. Bank balances should be compared each month with your accounting records. If cash cannot be kept in a bank, it is very important to keep the cash in a strong safe and have strict controls over cash maintenance and disbursement. For petty cash, it is very important to keep the cash in a strong safe and have strict controls over cash maintenance and disbursement.

1. Do you have a bank account registered in the name of your organization?
 Yes: ___ No: ___

- 1a. If not, how do you plan to receive funds from a possible grant?

2. Will funds in the bank account be in:
 Local currency: ___ U.S. dollars: ___

3. Will the bank account draw interest:
 Yes: ___ No: ___

4. Are all bank accounts and check signers authorized by the organization's Board of Directors or Trustees or other authorized persons?
 Yes: ___ No: ___

5. Will any funds from HIV Reform in Action Project be kept outside the bank account (in petty cash funds, etc.)?
 Yes: ___ No: ___

- 5.a. If yes, please explain the amount of funds to be kept and the name and position/title of the person responsible for safeguarding cash.

6. If your organization doesn't have a bank account, how is cash kept safely?

SECTION E: Audit

HIV Reform in Action Project may require an audit of your organization's accounting records. An audit is a review of your accounting records by an independent accountant who works for an accounting firm. An

audit report contains your financial statements as well as an opinion by the accountant that your financial statements are correct. Please provide the following information on prior audits of your organization.

1. Does your organization have regular independent audits that you contract and pay for?

Yes: ___ (please provide the most recent copy) No audits performed: ___

2. If yes, who performs the audit?
-

3. How often are audits performed?

Quarterly: ___ Yearly: ___ Every 2 years: ___ Other: ___ (explain)

4. If your organization does not have a current audit of its financial statements, please provide a copy of the following financial information, if available:

- a. A "Balance Sheet" for your prior fiscal or calendar year; and
b. A "Revenue and Expense Statement" for your prior fiscal or calendar year.

5. Are there any reasons (local conditions, laws, or institutional circumstances) that would prevent an independent accountant from performing an audit of your organization?

Yes: ___ No: ___

If yes, please explain: _____

CHECKLIST AND SIGNATURE PAGE

HIV Reform in Action Project requests that your organization submit a number of documents along with this completed questionnaire. Complete this page to ensure that all requested information has been included.

Please complete the checklist below, then sign and return the questionnaire and any other requested documents to [Name of project].

1. Complete the checklist:

- ___ Certificate of Registration and Statute (requested on page 2) is attached.
 ___ Information describing your organization (requested on page 2-3) is attached.
 ___ Organizational chart, if available, (requested on page 4) is attached, (if applicable).
 ___ Copy of your organization's most recent audit (requested on page 6) is attached.
 ___ If no recent audit, a "Balance Sheet" and "Revenue and Expense Statement" for the prior fiscal year (requested on page 7).
 ___ All questions have been fully answered.
 ___ An authorized individual has signed and dated this page.

The Accounting Questionnaire must be signed and dated by an authorized person who has either completed or reviewed the form.

Approved by:

Print Name

Signature

Title

Date

3.9 Fixed Amount Award Entity Eligibility Checklist

FIXED AMOUNT AWARD ENTITY ELIGIBILITY CHECKLIST

1. Organizational Integrity

- a. Obtain a copy of the articles of incorporation or other documentation which substantiates the
- b. legal character/registration of the entity in country/region of operation.
- c. Identify principals/key personnel/organization structure.
- d. Vet the organization/principals through the
 - i. Regional Security Officer or other checkpoints to validate good standing in the local community (integrity, reputation, internal controls) and ensure that the minimum statutory requirements are met.
 - ii. Excluded Parties List System (EPLS).
 - iii. Terrorism/Special Designated Nationals (SDN)/Blocked Persons/Office of Foreign Assets Control (OFAC)/etc.

2. Organizational Capacity to Achieve the Proposed Activity

- a. Assess management and staff expertise/resources to accomplish the Fixed Amount Award activity
- b. Intellectual property to be applied
- c. Technology resources to be applied
- d. Other assets available and commitments incurred to determine cash flow
- e. Assess ability to procure/manage property/personnel

3. Past Performance in the Sector

- a. Identify similar activities the entity has implemented
- b. Obtain third-party information on performance related to quality of performance, timeliness of completion, and input from past funding entities and activity beneficiaries
- c. Review, if available, objective performance documentation, such as evaluations

4. Fixed Amount Award Activity Implementation Viability

- a. Are the milestones appropriate to the activity?
- b. Can USAID reasonably define the accomplishments required to achieve the purpose of the grant in the milestones?
- c. Are the milestones verifiable?
- d. Is there sufficient information available on estimated costs to:
 - i. price milestones such that the Fixed Amount Award represents a good value to the Agency?
 - ii. identify risks to both the implementing entity and Agency, and mitigate the risks through “special conditions”?
- e. Are the milestones priced to balance liquidity with incentives for the recipient to keep performing?

5. Fixed Amount Award Pre-Award Financial Review Checklist Applicable for Authorizing Advances of Funds, if Necessary

- a. Is there a properly established bank account to receive USAID advances?
- b. Are account-related unused bank checks and petty cash on hand adequately safeguarded?
- c. Are there appropriate controls established over account disbursements?
- d. Are procedures established adequate to document account disbursement usage for grant activities?
- e. Are appropriate procedures established for regular reconciliation of bank account statements with internal records?
- f. If recipient had prior experience with managing advances from external sources, was past accountability adequate and were any past issues resolved? (Note: prior advance management experience not required).
- g. Does recipient have a comprehensive cash-flow projection for the proposed activity which supports the proposed implementation plan?
- h. Does the recipient understand USAID cash management requirements using either the 30-day rolling advance process or the working capital advance type methodology (see ADS 303, Awarding Fixed Obligation Grants Additional Help Document)?
- i. A written report of findings on the above points should be made as part of the Fixed Amount Award checklist documentation. The report should provide a summary assessment of the overall advance fiduciary risks as high, medium or low, with a brief summary supporting narrative.

6. Certifications/Representations Included/Obtained, as Appropriate

Use the certifications as specified in ADS 303.3.8 with particular attention given to applicability for Non-U.S. Non-Governmental Organization (NGO) recipients when awarding to a Non-U.S. NGO.

303mak_031212



GRANT AWARD

Grant No. RFA: 00X-0X

Deloitte Consulting LLP, is a contractor to the United States Agency for International Development (“USAID”) authorized to administer grants on behalf of USAID (“Grant Administrator”) under Contract No. _____ for HIV Reform in Action Project. Deloitte Consulting LLP, Grant Administrator, through its wholly owned subsidiary Deloitte Consulting Overseas Projects LLC is pleased to inform «Full legal name of the Recipient» (“Recipient”) that the Recipient has been approved by USAID as a Recipient for Grant Funding for «Grant_Activity_Description» (“Grant Activity”). Subject to Recipient’s compliance with the terms and conditions of this Grant Award, Recipient may receive Grant Funding in the amount of \$ «Award Amount US» payable in «name of the local currency» (“Grant Funding”). The Grant Funding will be disbursed as specified in Article II paragraph H. below.

By accepting this Grant Award, Recipient agrees to contribute goods and services in cash or in kind valued at a minimum at «cost share requirement in local currency» towards the accomplishment of the Grant Activities, and agrees to provide the reports or deliverables specified in this Grant Award.

The period of the Grant Award is from «Begin_Date» to «End_Date».

I. Terms and Conditions

The terms and conditions of the Grant Award are as follows:

- A. Program Description.** By accepting this Grant Award and signing below, Recipient certifies it will use the Grant Funding solely for the Grant Activities described in Attachment I, Program Description. If at any time the Recipient reasonably determines that it is no longer feasible to carry out the activities as outlined in the Program Description, the Recipient must notify the «Project_Name» Grants Manager immediately in writing.
- B. Recipient Representations.** By accepting this Grant Award and signing below, Recipient represents, warrants and certifies that:
 - a. Recipient is a non-U.S. non-governmental organization eligible for the Grant Award in accordance with this Grant Award terms and conditions and applicable laws and regulations.
 - b. Recipient has sufficient management and necessary financial capabilities to carry out the Grant Activities.
 - c. Recipient understands the Grant Award’s terms and conditions, including without limitation, that Recipient is subject to and must comply with USAID Automated Directive System (“ADS”) Chapter 303 “*Grants and Cooperative Agreements to Non-Governmental Organizations*”, and a Mandatory Reference for ADS Chapter 303 “*Mandatory Standard*”

Provisions for Non-U.S., Nongovernmental Recipients”, and Recipient agrees to abide by these terms and conditions.

- d. Recipient has not received any funds from HIV Reform in Action Project to prepare the grant application pursuant to which this Recipient was approved for this Grant Award.
 - e. Recipient will use any income earned from Grant Activities to further the program activities outlined in Attachment I.
 - f. As a condition of Grant Funding payment, Recipient will comply with any Grant Award cost share requirement by providing cash or in-kind contributions in the amount noted above noted above towards the Grant Activities.
 - g. Recipient did not engage in any lobbying activities, nor did it retain any other party to engage in such activities, in an attempt to secure the Grant Award.
- C. Certifications.** Recipient shall review and provide signed certifications set forth in Attachment IV hereof which are required of all recipients of U.S. Government grant funds. Delivery and compliance with these certifications is a condition of the Grant Funding payment.
- D. Recipient Performance Reporting.** Recipient agrees to provide within the specified time schedule the periodic performance reports outlined in Attachment III hereof as well as all reports and deliverables set forth in or required by this Grant Award or Recipient’s Grant application, which is deemed incorporated and made part of this Grant Award. In the event of discrepancy between the Grant Award document, including the attachments, and Recipient’s Grant application, the Grant Award document prevails. In addition, Recipient is responsible to provide any additional reports mandated under applicable law with respect to the Grant Award, including any reports mandated pursuant to USAID ADS Chapter 303.
- E. Recipient Obligations.** By accepting this Grant Award and signing below, Recipient agrees to:
- a. Expend Grant Funding only on the Grant Activities described in the Program Description.
 - b. Ensure that all Grant Activities comply with USAID’s Branding and Marking requirements.
 - c. Comply with all applicable laws and regulations (including, without limitation, the United States Foreign Corrupt Practices Act and all applicable anti-bribery laws and regulations) in its acceptance of this Grant Award and its performance of the Grant Activities. This Grant Award may not be used in any attempt to influence legislation within the meaning of U.S. Internal Revenue Code Section 501(c)(3). Recipient shall not use any portion of the funds granted herein to participate or intervene in any political campaign on behalf of or in opposition to any candidate for public office, to induce or encourage violations of law or public policy, to cause any private inurement or improper private benefit to occur, nor to take any other action inconsistent with Section 501(c)(3) of the U.S. Internal Revenue Code.
 - d. Document that reasonable steps were taken by Recipient to ensure that all purchases charged to Grant Funding are Allowable Goods and Services (as defined in G below).

- e. Maintain complete records of all amounts charged to the Grant Funding for a period of at least three years after the expiration of the Grant Award, and make such records available to USAID, Grant Administrator or any of their representatives for review and audit upon request.
 - f. Allow Grant Administrator, USAID and/or their designees the right to inspect or otherwise evaluate all activities being performed in connection with this Grant Award.
 - g. At Grant Administrator or USAID request, refund to Grant Administrator or USAID, as specified, any funds received pursuant to this Grant Award are determined by Grant Administrator or USAID, in their sole discretion, not to have met the terms and conditions of this Grant Award.
 - h. Prepare a Completion Report within 30 days after expiration or termination of this Grant Award.
- F. Mandatory Standard Provisions.** By accepting this Grant Award and signing below Recipient certifies its understanding and agreement that the Grant Award is subject to the applicable *Mandatory Standard Provisions for Non-U.S., Nongovernmental Recipients*, attached hereto as Attachment V and incorporated by reference herein, and that Recipient will ensure its adherence to these provisions.
- G. Reimbursement for Allowable Goods and Services.** By accepting this Grant Award and signing below Recipient certifies its understanding and agreement that Grant Funding may only be used to pay for actual direct costs incurred in carrying out this Grant Award and which are determined by Grant Administrator to be reasonable, allocable, and allowable in accordance with the terms of this Grant Award and the applicable² cost principles in effect on the date of this Grant Award (“Allowable Goods and Services”). Recipient shall not incur any costs not outlined in the Attachment II, Grant Budget, without prior written approval of Grant Administrator. Prior to incurring a questionable or unique cost, Recipient shall obtain Grant Administrator’s written determination on whether the cost will be allowable. No funds shall be paid as profit or fee to Recipient under this Grant Award or any sub-recipient. Procurement should be carried out in accordance with Clause 5 in Part II of the *Mandatory Standard Provisions for Non-U.S., Nongovernmental Recipients*. Allowable costs may not include international airfares or indirect costs unless specifically approved in writing in advance by Grant Administrator.
- H. Grant Funding Disbursements.** By accepting this Grant Award and signing below Recipient certifies its understanding that Grant Funding will be disbursed no more than monthly by check payable to Recipient against presentation of bona fide receipts for costs incurred by Recipient in carrying out the purposes of this Grant Award and which are determined by Grant Administrator and USAID to be reasonable, allocable, and allowable. Requests for payment shall be made to the HIV Reform in Action Project Grants Administrator, ADDRESS.

Alternatively, upon Recipient’s request, Grant Administrator may make payment of Grant funds directly to Recipient’s vendor against bona fide vendor invoices for Allowable Goods and Services; the vendor invoices must be endorsed by Recipient with a statement that the charged goods and services have been received.

² NOTE: For educational institutions apply OMB Circular A-21; for all other non-profit organizations apply OMB Circular A-122; and for profit making firms apply Federal Acquisition Regulation 31.2 and USAID Acquisition Regulation 731.2.

- I. **Personnel Salaries:** By accepting this Grant Award and signing below Recipient certifies its understanding and agreement that salary payments pursuant to this Grant Award are limited by a maximum daily salary rate approved by U.S. Government. All salaries paid from Grant Funds may not exceed the approved maximum daily rate (to be communicated to Recipient by Grant Administrator) and the salary must be justified by a signed and completed biodata form.

II. Other Terms & Conditions

- A. **Relationship to USAID.** This grant is being administered by Grant Administrator on behalf of USAID pursuant to Contract No. _____ for HIV Reform in Action Project. Although USAID is not substantially involved in the administration of this Grant Award, it is understood and agreed that USAID is the Grantor may, in its discretion through the its Contracting Officer, supersede any decision, act or omission taken by Grant Administrator in respect to this Grant Award. In addition, USAID has the right to terminate the Grant Award and Grant Activities unilaterally if it determines that it is in the interest of USAID or in other extraordinary circumstances. To the extent Recipient wishes to assert any rights under the Grant Award, such rights shall be pursued directly with USAID.
- B. **No Liability for Third Party Claims.** Recipient acknowledges by signing below that neither USAID nor Grant Administrator and its subsidiaries, parents, affiliates, officers, principals, partners and personnel assume liability for any third party claims arising under this Grant Award.
- C. **Indemnification.** Recipient hereby irrevocably and unconditionally agrees, to the fullest extent permitted by law, to defend, indemnify and hold harmless Grant Administrator, its parents, subsidiaries, affiliates, related entities and their respective partners, principals, employees, and agents, from and against any and all claims, liabilities, losses and expenses (including reasonable attorneys' fees) directly, indirectly, wholly or partially arising from or in connection with (i) any act or omission of Recipient, its employees or agents, in applying for or accepting the Grant Award, in expending or applying the funds furnished pursuant to the Grant Award, or in carrying out the Grant Activities.
- D. **Limitation of Liability.** Grant Administrator, its subsidiaries, parents, affiliates, officers, principals, partners and personnel shall not be liable for any actions, damages, claims, liabilities, costs, expenses, or losses in any way arising out of or relating to this Grant Award for an aggregate amount in excess of the Grant Funding disbursed to Recipient pursuant to this Grant Award. Except with respect to Recipient's indemnification obligations under this Grant Award, in no event shall either party or its personnel be liable for consequential, special, indirect, incidental, punitive or exemplary damages, costs, expenses, or losses (including, without limitation, lost profits and opportunity costs). The provisions of this paragraph shall apply regardless of the form of action, damage, claim, liability, cost, expense, or loss, whether in contract, statute, tort (including, without limitation, negligence), or otherwise.
- E. **Modification of this Grant Award.** This Grant Award may be modified from time to time for reasons such as, but not limited to, the following:
 - a. the achievement of the program objective is in jeopardy, but an agreed upon implementation schedule modification can put the activity back on track; and/or

- b. there is an unanticipated increase in the cost of the activity(ies) proposed for Grant Funding.

All modifications must be in writing and must be approved by Grant Administrator. In no case shall any modification be approved which increases the total Grant Funding above the local current equivalent of US\$25,000.

- F. Termination.** This Grant Award, and any modification thereto, may be unilaterally terminated by Grant Administrator upon written notice.
- G. Governing Law.** This Grant Award shall be governed by, and construed in accordance with, the laws of the State of New York, USA (without giving effect to the choice of law principles thereof). If any provision of this Grant Award is found by a court of competent jurisdiction to be unenforceable, such provision shall not affect the other provisions, but such unenforceable provision shall be deemed modified to the extent necessary to render it enforceable, preserving to the fullest extent permissible the intent of the parties set forth in this Grant Award.
- H. Waiver if Jury Trial.** EACH OF THE PARTIES HEREBY IRREVOCABLY WAIVES ALL RIGHT TO TRIAL BY JURY IN ANY ACTION, PROCEEDING OR COUNTERCLAIM (WHETHER IN CONTRACT, STATUTE, TORT (INCLUDING, WITHOUT LIMITATION, NEGLIGENCE) OR OTHERWISE) RELATING TO THIS GRANT AWARD.
- I. Ownership Change.** Recipient hereby agrees to notify Grant Administrator of any change in control of Recipient within thirty (30) days of such change. For the purpose of this provision, "control" means (a) the legal or beneficial ownership of (i) ten percent (10%) or more of the outstanding voting stock of a corporation, (ii) ten percent (10%) or more of the equity of a limited liability company, partnership, or joint venture; or (b) the power to direct or cause the direction of the management and policies of an entity, whether through the ownership of voting securities, through membership, by contract or otherwise.
- J. Publicity.** Any news release, advertisement or other form of publicity concerning efforts in connection with this Grant Award shall be approved by Grant Administrator in advance in writing. The provisions of this Paragraph shall survive the termination of this Agreement for any reason.
- K. Subcontracting and Assignment.** Recipient shall not delegate, subcontract, assign or transfer any interest in or duties under this Grant Award without the prior written consent of Grant Administrator. Nothing contained herein shall require Grant Administrator to accept any assignment, transfer or other substitution of performance by Recipient. The provisions of this paragraph shall survive the termination of this Grant Award for any reason.
- L. Rights in Data.** Unless expressly specified by Grant Administrator, Recipient hereby grants to each USAID and Grant Administrator a royalty-free, non-exclusive right to reproduce, publish or use the work developed by Recipient pursuant to this Grant Award. U.S. Government has the right to obtain, reproduce, publish or use data first produced under the Grant Award and authorize others to receive, reproduce, publish or use such data for federal purposes.

To acknowledge your understanding and acceptance of all the terms and conditions of this Grant Award, please sign two original copies of this Grant Award and each of the certifications contained in the

Grant Award Template, Page 6 of 12

Attachments. Please return the two original copies of the Grant Award and certifications to the Grant Administrator. The signed Grant Award and certifications must be received prior to any disbursement of Grant Funds.

Thank you,

Deloitte Consulting Overseas Projects LLC, on behalf of Grant Administrator

Name: [NAME]
Principal/Director
Date: [DATE]

On behalf of «Recipient», I hereby acknowledge our understanding and acceptance of all the terms and conditions of this Grant Award.

Name: _____

Title: _____

Date: _____

Signature: _____

Attachments:

Attachment I Grant Description

Attachment II Grant Budget

Attachment III Grant Performance Reporting/ Standard Reporting Tool

Attachment IV Certifications

Attachment V Mandatory and Optional Standard Provisions – USAID ADS 303 (located at <http://www.usaid.gov/policy/ads/300/303.pdf>)

Attachment VI Recipient Handbook

Award Documents Distribution:

- One Original to the Recipient
- One Original to the «Project_Name»/USAID

ATTACHMENT I**PROGRAM DESCRIPTION****A. STATEMENT OF GRANT PURPOSE****B. BACKGROUND TO GRANT****C. DESCRIPTION OF PROPOSED ACTIVITY** (please include all activities in sufficient detail; note that the application is not automatically part of the Grant Award, thus specify what activities from the grant application are included)**D. EXPECTED OUTPUTS**

ATTACHMENT II
GRANT BUDGET

ATTACHMENT III
PERFORMANCE REPORTING
(Standard Reporting Tool is attached in email)

Regular Reports

Recipients are responsible for managing and monitoring each activity supported by the Grant. The recipient shall prepare quarterly performance reports as well as a final report. Quarterly performance reports are required 30 days after the end of each quarter. The final performance report is due 30 calendar days after the expiration or termination of the award.

The performance reports shall be in the following form:

- A. Recipient Name: «Recipient»
- B. Grant Number: «Grant_ID_Number»
- C. Date Period Covered by Report: Quarterly reporting
- D. Accomplishments during the Period (if quarterly report) / Grant (for final report). The Recipient shall provide a bulleted list and short summary of the accomplishments during the period. The Recipient shall provide a comparison of the actual accomplishments with the goals and objectives established for the period. If appropriate, the Recipient should include readily results (e.g., number of people trained, number of jobs created). Such results should be disaggregated by gender when possible.
- E. Reasons why established goals were not met, if appropriate.
- F. Financial Summary. The Recipient shall provide a summary of financial expenditures relative to achievements. If expenditures are more than anticipated, the Recipient shall include the probable cause and a plan for ensuring that the Grant activities will be completed within the grant award amount.

Recipients shall submit the original and two copies of performance reports to the «Project_Name» Grants Manager.

Reports of Problems of Issues

Recipients shall immediately notify the «Project_Name» Grants Manager of developments that have a significant impact on the award-supported activities, including problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award.

This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

ATTACHMENT IV**CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (May 2006)****(document attached in email)**

Deloitte Project Grants Administrator to attach required certifications:

- 1) From USAID Web Page: <http://www.usaid.gov/policy/ads/300/303sad.pdf>
303sad - Certifications, Assurances, and Other Statements of the Recipient (May 2006)
Including The Anti-Terrorism Certification (ATC) USAID/Washington's Office of Acquisition and Assistance issued Acquisition & Assistance Policy Directive (AAPD) 04-14, "Certification Regarding Terrorists Financing Implementation E.O. 13224 (Revision 2)".
- 2) FCPA Compliance Certification

ATTACHMENT V
MANDATORY STANDARD PROVISIONS
FOR NON-U.S. NONGOVERNMENTAL RECIPIENTS
(ADS Chapter 303 January 2007)
(document attached in email)

Attached from the USAID Web Page : <http://www.usaid.gov/policy/ads/300/303mab.pdf>

[ADS 303mab - Mandatory Standard Provisions For Non-U.S., Nongovernmental Recipients](#)

ATTACHMENT VI
RECIPIENT HANDBOOK
(provided electronically – for informal reference only)