

quick reference  
**award phase** online tips  
*managing your award* **NPI Grantee**  
tool

# Chapter 1: Introduction

**1.1 Why This *Guide*?**

**1.2 Who Is the *Guide* For?**

**1.3 How Is the *Guide* Organized?**

**1.4 How to Use the *Guide***

**1.5 Ties to Organizational Development**

## 1.1 Why This *Guide*?

While there are numerous HIV/AIDS technical resources and general non-government organization (NGO) management resources available, both the U.S. Agency for International Development (USAID) and the New Partners Initiative (NPI) technical assistance team agreed that there is no easy-to-use primer to help NPI grantees meet the twin challenges of managing PEPFAR resources and implementing programs successfully.

The *Guide* was developed to be both a capacity-building tool and desktop reference. To create this *Guide*, the authors consulted a range of documents issued by USAID, the U.S. Department of Health and Human Services (HHS) Grants Policy Statement, and the U.S. Code (USC). Because HHS grantees traditionally have been U.S.-based, while USAID's traditionally have been outside the United States, a high proportion of policies and examples cited reflect USAID's years of expertise and authority working with international organizations. Where there are differences among the USC, USAID, and HHS rules and regulations, respectively, the *Guide* notes them. Otherwise, discussion of the regulations and requirements reflects general USG principles applicable to all NPI grantees.

Above all, this *Guide* is intended to serve as an engaging and informative resource to bolster an NGO's capacity-building efforts and a practical resource to help an organization navigate USG regulations as an NPI grantee.

## 1.2 Who Is the *Guide* For?

The *Guide* is not just for the heads of NPI partner organizations; it is for all staff members of an organization who play important roles in managing an NPI award. Many of the topics covered in the *Guide* apply to both prime partners and subgrantees, whether U.S. or non-U.S. organizations.

The *Guide* explains the processes and tools organizations need to steer a course from organizational self-appraisal, award, program start-up, and implementation through monitoring, evaluation, and reporting.

NGOs that seek USG funds may also find the recommendations in this *Guide* useful in helping them to become more competitive in efforts to seek PEPFAR funding.

## 1.3 How Is the *Guide* Organized?

This *Guide* is organized to help you manage a current award from examining capacity to receiving funds to implementing programs, through demonstrating effectiveness and then sustaining the program or closing it out. It leads through the phases of managing an award: chapter 2 covers the Award Phase; chapters 3–4 discuss the Start-Up Phase; chapters 5–6 address the Implementation Phase; and chapters 7–9 guide you through the Close-Out Phase. Each chapter provides links to useful tools that can help you implement your organization's work and references to specific documents and Web sites to obtain more detailed information on a particular subject.

## 1.4 How to Use the Guide

The *Guide* is designed to be read like a book or to be used as a quick reference. The table of contents at the beginning and the index at the end of Chapter 9 can assist you in quickly finding specific, needed information. Many of the sections provide detailed, step-by-step instructions for meeting certain USG requirements.

### Online Tips

Online readers will be able to jump from one page in the *Guide* to another whenever a word or phrase is [in purple and underlined](#). These are active links, meaning that, when clicked, a new page will appear that contains more information on that particular subject. A highlighted box at the start of each chapter provides active links to let you “skip ahead” to a specific topic rather than scrolling through the document page by page.

To avoid duplicating information that is provided in depth elsewhere, when you click on some of the phrase underlined and in blue you will go to a Web site that we believe is safe and useful. You can tell where you are by looking at the Web site “address” showing at the top of your Web browser “window.”

## 1.5 Ties to Organizational Development

While the *Guide* is organized according to the life cycle of an award, another way of viewing its resources is through an organizational development lens. The chart below does so by categorizing the content of the *Guide*’s chapters according to seven capacity-building domains: compliance, external relations, financial management, governance, human resources, monitoring and evaluation and program management.

### The Guide as Seen through an Organizational Development Lens

#### **Compliance**

- ▶ Cooperative Agreement Basics (ch. 2)
- ▶ Procurement Policy Standards (ch. 3+5)
- ▶ Reporting (ch. 6)
- ▶ Close Out (ch. 9)

#### **Governance**

- ▶ Assessing Strengths and Weaknesses (ch. 4)
- ▶ Governance and Management (ch. 4)
- ▶ Strategic Planning (ch. 8)

#### **External Relations**

- ▶ Marking and Branding (ch. 3)
- ▶ Communication Planning (ch. 3)

#### **External Relations**

- ▶ Financial Systems Minimum Requirements (ch. 3)
- ▶ Financial Management (ch. 5)

#### **Human Resources**

- ▶ Key Personnel (ch. 2)
- ▶ Human Resources Policies (ch. 3)

#### **Monitoring and Evaluation (M&E)**

- ▶ Starting your M&E System (ch. 3)
- ▶ Baseline Surveys (ch. 3)
- ▶ M&E Progress (ch. 5)

#### **Program/Project Management**

- ▶ Project Planning (ch. 3)
- ▶ Writing Your Workplan (ch. 3)
- ▶ Technical Program Management (ch. 5)
- ▶ Learning and Sharing (ch. 5)