

*workplan*  
requesting funds **Start-Up**  
**your team** HR policies  
branding and marking

# Chapter 3: Program Start-Up

## **3.1 Overview**

## **3.2 Getting Started**

- 3.2.1 Five Tips for Managing a Successful Start-Up
- 3.2.2 Start-Up Timeline and Checklist
- 3.2.3 Your Implementation Team
- 3.2.4 Requesting Funds during Program Start-Up

## **3.3 Management Policies and Systems**

- 3.3.1 Financial System Minimum Requirements
- 3.3.2 Procurement Policy Standards
- 3.3.3 Human Resources (HR) Policies

## **3.4 Planning**

- 3.4.1 Project Planning
- 3.4.2 Workplan
  - 3.4.2.1 Workplan Sections
  - 3.4.2.2 Activity Descriptions
  - 3.4.2.3 Workplan Budget
  - 3.4.2.4 Four Workplan Writing Tips
  - 3.4.2.5 Workplan Review and Approval
- 3.4.3 Starting Your Monitoring and Evaluation (M&E) System
  - 3.4.3.1 Setting Up an M&E System
  - 3.4.3.2 Linking Program Targets with Impact Indicators

## **3.5 Marketing and Communication**

- 3.5.1 Developing a Communication Plan
- 3.5.2 Branding
  - 3.5.2.1 How Do I Develop a Brand for My Program?
  - 3.5.2.2 What Are the Elements of My Program's Brand?
- 3.5.3 Marking and Donor Requirements
  - 3.5.3.1 Creating a Marking Plan
  - 3.5.3.2 Marking Program Deliverables
  - 3.5.3.3 Subrecipient Requirements
  - 3.5.3.4 Special Requirements for USAID Partners
  - 3.5.3.5 Special Requirements for HHS Partners
  - 3.5.3.6 Marking Requirements under PEPFAR
- 3.5.4 Demonstrating the Effect of Your Program
  - 3.5.4.1 Telling Your Story
- 3.5.5 Communication and Ethics

## **3.6 Summary and References**

## 3.1 Overview

The start-up period is one of the most critical phases of your program. The more attention you give to establishing a solid foundation (by developing management policies and systems and setting up specific implementation plans), the smoother the program implementation will be.

This chapter introduces the major tasks that need to be accomplished between finalizing the award and starting implementation. The first part, “[Getting Started](#)” (3.2), discusses tips for ensuring a successful start-up and includes a [timeline and checklist](#) (3.2.2) for this phase. This section also outlines the practical issues of [staffing](#) (3.2.3) and [start-up funding](#) (3.2.4). A special section on “[Who’s Who on the USG Team](#)” (box in 3.2.3) is included to help you understand the roles and responsibilities of staff. Finally, this section looks at the practical matter of [requesting and spending money](#) (3.2.4) during the start-up phase.

“[Management Policies and Systems](#)” (3.3) discusses requirements for [financial](#) (3.3.1), [procurement](#) (3.3.2), and [human resources](#) (3.3.3) systems and policies, as well as important steps for starting your [monitoring and evaluation \(M&E\) system](#) (3.4.3).

The section on “[Planning](#)” (3.4) discusses [project planning](#) (3.4.1) and [writing your workplan](#) (3.4.2), and the next section includes information on developing a [marking plan](#) (3.5.3.1).

### Skip Ahead

- ▶ [Start-Up Timeline and Checklist](#)
- ▶ [Financial Systems](#)
- ▶ [Procurement Process HR Policies](#)
- ▶ [M&E Start-Up](#)
- ▶ [Project Plan](#)
- ▶ [Workplan](#)
- ▶ [Marking Plan](#)
- ▶ [Demonstrating Impact](#)

## Objectives

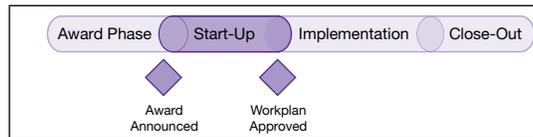
- Understand what needs to be accomplished during the start-up phase.
- Learn the minimum requirements for key management systems.
- Walk through the initial planning process.

## Key Terms and Acronyms

- **Allocable Cost**—A cost incurred specifically to support or advance the award.
- **Allowable Cost**—An incurred cost determined to be an acceptable cost to USAID.
- **Cost Share**—The portion of project or program costs not covered by the USG. This may be in the form of cash or in-kind contributions.
- **FM (or FMO)**—Your Agency’s Financial Management Office.
- **Indicator**—A specific data point you track to monitor program progress. There are standard PEPFAR indicators, in-country standard indicators, and your own program-specific indicators.
- **Key Personnel**—Key Personnel refers to project positions as well as to the individuals who fill the particular slots. Typically, positions identified in the Cooperative Agreement as Key Personnel are those leadership slots considered essential to the successful implementation of the overall project.
- **NICRA**—Negotiated Indirect Cost Rate Agreement (a rate negotiated individually between an organization and the USG to cover indirect cost).
- **Obligated Amount or Obligation**—The amount the USG has committed to the program. There is no guarantee that the USG will reimburse the recipient for any spending above the obligated amount.

- **Reasonable Cost**—A cost that is generally recognized as ordinary and necessary and that a prudent person would incur in the conduct of normal business.
- **Significant Rebudgeting**—Moving funds between budget categories above a certain threshold set by your funding agency.
- **Standard Budget Categories**—Nine standard categories the USG suggests all awardees use, including Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction (sometimes replaced with “program costs” for nonconstruction projects), Other, and Indirect Costs (may covered by a NICRA).
- **Workplan**—A document that lays out a grantee’s planned activities, timelines, the resources required to carry out the activities, and the program’s targets.

## 3.2 Getting Started



### 3.2.1 Five Tips for Managing a Successful Start-Up

1. *Communicate Progress to All Stakeholders.*

The news of an award is likely to energize everyone, including field office staff, subrecipients, and the communities involved. Ensure that everyone is informed and involved during the start-up phase to maintain momentum through to the implementation phase.

2. *Involve Field Offices, Subs, and Communities in Planning.*

The easiest way to retain enthusiasm is to involve the field offices, subrecipients, and communities in planning. Resist the temptation to write a workplan based solely on your understanding of the situation. Experience shows that the extra time invested in the beginning can foster broad ownership of the process and the product.

3. *Note When Award Compliance Begins.*

Compliance begins before the start date of your award.

4. *Begin Building Strong Relationships with Your U.S. Government (USG) Counterparts.*

You will meet new counterparts in the United States and in-country offices all working toward the same goal of getting your program ready for implementation. Establishing good relationships with these people will help make the entire process easier.

5. *Build Implementer-Friendly Processes and Systems.*

Start-up involves establishing core management processes, including M&E and financial management systems. It may be tempting to impose automated, highly technical systems. However, before doing so, consider the impact on the field: How much training will be necessary? Are excessive costs involved? Is there infrastructure to support high-tech solutions? Be sure to test new systems with your counterparts in the field to ensure they are practical, affordable, and sustainable.

### 3.2.2 Start-Up Timeline and Checklist

The start-up phase of a project begins when the award is announced and continues until your workplan is approved and you receive funding designated for implementation. Generally, there will be some overlap between this phase and some activities in the award phase, such as addressing pre-award conditions. Figure 4 provides an overview of the key tasks to be completed during start-up.

Figure 4—Key Start-Up Tasks

Event/Task	Description	Timeline	Reference
Award finalized	Begin the start-up phase with delivery of the signed award to the partner.		<a href="#">Chapter 2</a>
<a href="#">Project planning</a>	Develop detailed project plans from the outset of your program. This will help you manage tasks, resources, and funding through the start-up phase and throughout the program's life cycle.	Begin immediately, and manage ongoing	<a href="#">Section 3.4.1</a>
Outstanding pre-award tasks	Attend to any aspects of the award phase that are still pending (such as pre-award conditions).	Continues from award phase	<a href="#">Chapter 2</a>
<a href="#">Request funding to cover start-up</a>	Request funds from your funding agency to cover the costs for staff and systems development that are necessary to complete your start-up objectives. <b>Note:</b> <i>This funding may not be used to start implementation.</i>	As needed	<a href="#">Section 3.2.4</a>
<a href="#">Workplan</a>	Develop a detailed plan for the first year of the project and each subsequent year.	Start after project planning	<a href="#">Section 3.4.2</a>
<a href="#">Financial systems</a>	Make sure your financial manager understands the financial reporting requirements of the award and has everything necessary to meet the minimum requirements. This will involve opening up a new bank account.	Must complete certain aspects before receiving funds	<a href="#">Section 3.3.1</a>
<a href="#">Procurement policies and procedures</a>	Put an effective procurement process in place to ensure that all procurements made under your award meet the donor's requirements.	Must complete prior to making purchases	<a href="#">Section 3.3.2 and Chapter 5</a>
<a href="#">HR policies</a>	Develop any required HR policies and communicate them to your staff.	Systems for tracking hours required immediately; other policies may be less time-sensitive	<a href="#">Section 3.3.3</a>
<a href="#">M&amp;E system</a>	Develop indicator definitions, data-gathering processes, and tools. Communicate the importance of data quality to staff and train them to record data properly.	Coordinate with development of workplan	<a href="#">Section 3.4.3</a>
<a href="#">Baseline assessment</a>	Conduct a program-specific baseline assessment and research any major baseline data that may already be available.	Coordinate with development of M&E system	<a href="#">Section 3.4.3</a>
<a href="#">Workplan review</a>	Assist the USG with conducting technical and field reviews of your workplan, which involves gathering input from in-country staff as well as your AOTR. Adjust your program to be responsive to the in-country program or other technical guidance, if necessary, and notify your AOTR immediately if any of the changes affect your budget or targets.	Timing varies	<a href="#">Section 3.4.2.5</a>
<a href="#">Marking/communications plan</a>	Develop a marking/communication plan. Whether required or not, it is a good idea to have one.	Complete prior to implementation	<a href="#">Section 3.5</a>
<a href="#">Workplan approved</a>	Receive notification when the USG field staff and your AOTR approves your workplan. (If you are operating on a reimbursement basis rather than an advance basis, you may begin implementing at that time.)		<a href="#">Section 3.4.2.5</a>
Funding for implementation	<ol style="list-style-type: none"> <li>1. Request funding to cover implementation. Be aware that the process for the USG to obligate funds may sometimes take several weeks, so be sure to plan accordingly.</li> <li>2. Receive funding from your USG agency. Organizations operating on an advance-funding basis may begin implementing once you receive your first installment of implementation funds.</li> </ol>	As long as one month to obligate additional funds, plus as long as two weeks to disburse funds	<a href="#">Chapter 5</a>

### 3.2.3 Your Implementation Team

The team implementing the project will include a range of stakeholders. During start-up, it is important to manage the expectations of the entire project team as well as beneficiary stakeholders by engaging them in planning and delegating tasks and keeping them informed of the project's status. This will get things done more quickly and will help staff cultivate expertise and leadership skills, which will be critical for problem solving and achieving goals going forward.

During your award, team members will be working with host-government officials at the local and national levels as well as the USG team in-country and at the funding agency's headquarters. It is important to request an introductory meeting with the in-country Activity Manager (AM). He or she is a key player at the USG who is involved in reviewing your field-level implementation plans and alerting you to aspects that might need revision. Discussing intended plans with the Activity Manager may help to avoid misunderstandings and ensure that your program is integrated with the host government's strategy and the country's PEPFAR plan. During this process, please be aware that your contact's time is limited.

#### Who's Who on the USG Team?

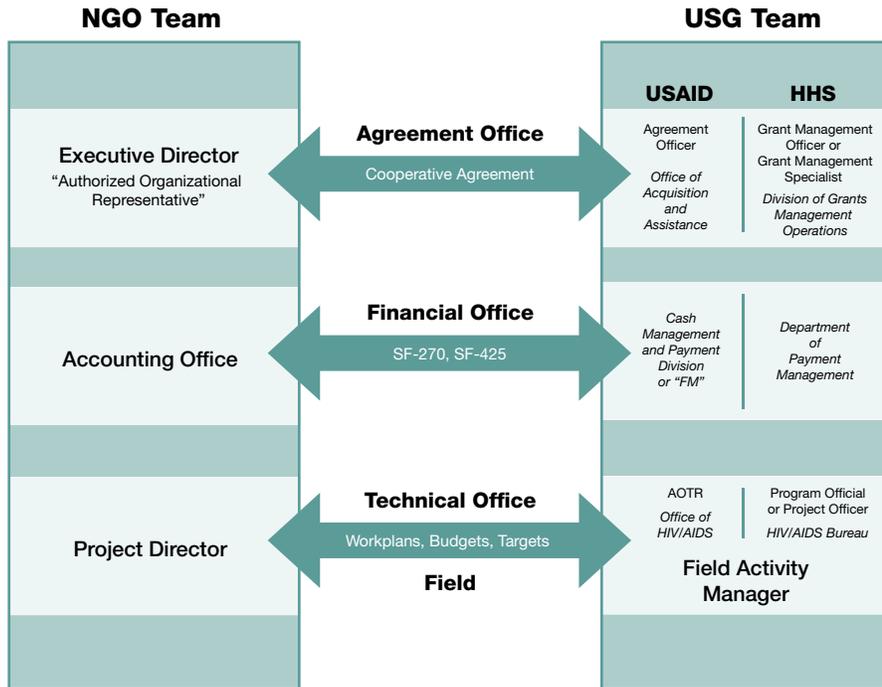
During the life of your award, you will deal with three primary offices in your funding agency: the agreement office, financial office, and technical office. In addition, as an NPI implementer, you will work with an in-country USG office, which may include staff from an agency different from your funding agency.

As shown in Figure 5, USAID and HHS have different names for these offices and different titles for the people with whom you will work, although their roles and responsibilities are similar. This figure also shows your organization's counterparts to the individuals on the USG team.

The Agreement Office, known as the Office of Acquisition and Assistance (OAA) at USAID or the Office of Grants at HRSA, is where you applied for funding and negotiated and received your award. The agreement office manages issues related to compliance with the terms of your award agreement.

The title of the key USG individual with whom you will work in this office is the Agreement Officer (AO) at USAID or the Grants Management Officer (GMO) at HRSA. The AO/GMO will need to approve many major administrative issues and changes in writing. You should raise any financial, technical, and/or programmatic issues under the award first with your corresponding agency's financial and technical offices. The AO or GMO's counterpart in your organization will likely be the Executive Director or someone in a similar leadership role with the authority to enter into legal agreements on behalf of the organization.

Figure 5—Contacts on the NGO Team and USG Teams



At USAID, the **Finance Office** is the Cash Management and Payment Division (CMP), but is often simply referred to as "FM," short for Office of Financial Management. At HRSA, the financial office is called the Department of Payment Management (DPM).

In most cases, the **Technical Office** will be your primary, day-to-day point of contact. The technical office deals with all the program aspects of your award. USAID's Office of HIV/AIDS (OHA), under the Bureau of Global Health (GH), is the technical office with which USAID NPI grantees will be working. Recipients whose agreements are handled by USAID field missions interact with the health or HIV/AIDS office within the USAID mission. HRSA's HIV/AIDS Bureau (HAB) is the technical office with which HHS NPI grantees work.

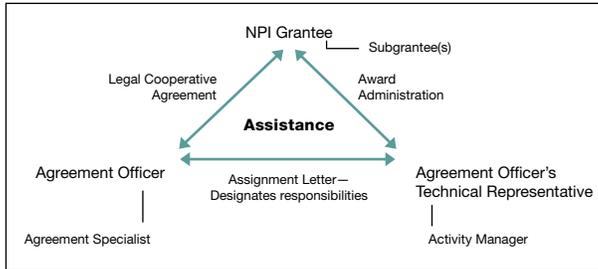
USAID agreements identify the Agreement Officer's Technical Representative (AOTR) as the primary point of contact in the technical office (named in your Cooperative Agreement by the AO). (For more information on the responsibilities of the AOTR, see Annex 5, the AOTR designation letter.) HRSA agreements identify a Program Official or Project Officer (PO) as the primary point of contact in the technical office.

All PEPFAR programs are coordinated and monitored in-country, where an interagency USG team works with the host government to establish country-wide priorities, strategies, and technical approaches. While a Washington, D.C.-based technical office may be managing your agreement, a high level of coordination with the in-country team is required. This means certain documents, activities, and actions may require review and sign-off from both the Washington, D.C., and field USG offices.

Generally, all agreements have been assigned a field-level Activity Manager. It does not matter if your agreement is with USAID or HRSA; the Activity Manager could be from any USG agency, such as USAID or the Centers for Disease Control and Prevention (CDC).

During the start-up phase, you should begin building relationships between your staff and all of your USG counterparts.

Figure 6—Relationships in a Cooperative Agreement



### 3.2.4 Requesting Funds during Program Start-Up

Your funding agency will obligate a small portion of your award to fund your start-up activities. Request the funds by completing the [Standard Form-270 \(SF-270\)](http://www.whitehouse.gov/omb/grants/sf270.pdf) (<http://www.whitehouse.gov/omb/grants/sf270.pdf>). You may be restricted to requesting funds for one month at a time. (For more on completing the SF-270 form and requesting and disbursing USG funds, see [Chapter 5](#).)

In addition, you may be asked to prepare a special start-up budget to show exactly how you intend to use the funds. Use the same standard budget categories you used in your application or the template supplied for your workplan.

You must budget and spend your start-up funds carefully in case there are delays in getting your workplan approved. It is not unreasonable to expect the start-up phase to last three months or more.

The funding you receive during the start-up phase comes out of your total award amount. You may use it to cover budgeted start-up costs only. If you spend more than you budgeted during this phase, it must be subtracted from the funding available to implement your award and could hinder your ability to meet your targets. Also, any funds remaining from your start-up obligation will be available to you to spend during implementation.

Before the USG approves your workplan, it may ask you to make changes. Thus, it is important to wait for approval before you begin delivering services to beneficiaries. Note that dozens of activities contribute to your ability to deliver services that do not necessarily count as “implementation”—for example, training subrecipients on your M&E system, recruiting for personnel, planning for purchases, etc. (This limitation on implementation during workplan approval applies only during approval of your initial workplan. During subsequent USG workplan reviews, maintain current implementation activities, but await official approval to expand activities.) Be creative and use this time wisely to get your organization and any partners and subs ready to go once the workplan is approved.

Figure 7 lists some examples of how you may or may not spend start-up funds. Keep in mind that whatever you spend money on must be part of your original budget.

**Figure 7—Appropriate Uses of Start-Up Funds**

YES—May Fund during Start-Up	NO—May NOT Fund during Start-Up
<ul style="list-style-type: none"> <li>Addressing pre-award survey findings</li> </ul>	
<ul style="list-style-type: none"> <li>Salaries, or a portion of salaries, for personnel contributing to start-up tasks, such as work planning, setting up financial systems, or building the M&amp;E system</li> <li>Advertising for implementation-specific positions, recruiting, and even making a job offer contingent on workplan approval</li> </ul>	<ul style="list-style-type: none"> <li>Salaries of personnel who work only on implementation; (e.g., service delivery)</li> </ul>
<ul style="list-style-type: none"> <li>Training staff and subrecipients named in your Cooperative Agreement</li> </ul>	<ul style="list-style-type: none"> <li>Training unapproved subrecipients or conducting trainings at the community level</li> </ul>
<ul style="list-style-type: none"> <li>Purchasing items necessary to complete your start-up tasks, such as office equipment and supplies</li> </ul>	<ul style="list-style-type: none"> <li>Purchasing items for implementation, such as test kits, or printing implementation-specific materials</li> </ul>
	<ul style="list-style-type: none"> <li>Anything not in writing in your original budget, unless specifically authorized, including via e-mail, by your AOTR.</li> </ul>

### 3.3 Management Policies and Systems

Several management systems are required to implement your program successfully and to ensure compliance with the regulations governing your award. This section outlines important factors and minimum requirements for each of these systems, including:

- [Financial Management \(3.3.1\)](#)
- [Procurement \(3.3.2\)](#)
- [Human Resources \(3.3.3\)](#)
- [Monitoring and Evaluation \(3.4.3\)](#)
- [Baseline Assessments \(box in 3.4.3.1\)](#)

#### 3.3.1 Financial System Minimum Requirements

In the *U.S. Code of Federal Regulations (CFR)*, there is a set of minimum requirements that your financial system must meet before you can receive USG funds. The purpose of these requirements is to ensure that you do not mishandle USG funds and that you document the use of the funds to the level that an audit can review them (if necessary).

#### 22ndm Minimum Requirements Key Points

**Applies to:** All recipients of USG funds subject to annual audits

**Required for:** Financial reports, funding requests, and audits

**Verified by:** Annual Audit

**Governed by:** U.S. Code of Federal Regulations (CFR) “Financial Systems Minimum Requirements”

(22 CFR 226.21—[http://www.access.gpo.gov/nara/cfr/waisidx\\_06/22cfr226\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html))

*How does this help my program?*

The importance of sound financial management cannot be stressed enough. If evidence of financial mismanagement is found at your organization, it will be extremely difficult for you to get future funding.

You must set up your financial systems and policies to comply with the financial requirements of your award. These requirements include ensuring that costs are properly categorized, tracked, and charged to the appropriate accounts, and you are able to report financial information accurately, as required by your agreement.

The following section outlines some of the minimum requirements for financial management related to your award. This does not replace having a good accountant or financial manager on staff and does not cover all general NGO financial management needs.

### *Regulation Specifics*

Good financial management requires:

- accounting software;
- written financial policies; and
- trained professional staff.

The following minimum requirements refer to both software features and financial policies, and you must incorporate all of these requirements into your accounting staff training.

The USG requires that your financial system must:

- Relate financial data to performance data to develop unit cost data whenever practical.
- Maintain records that identify the source and application of funds for USG-sponsored activities. These records must contain information pertaining to all USG awards, authorizations, obligations, unobligated balances, assets, outlays, income, and interest.
- Demonstrate effective control over and accountability for all funds, property, and other assets. Your system must adequately safeguard all assets and ensure that they are used solely for authorized purposes.
- Compare outlays with budget amounts (for each award, when applicable).
- Have written procedures for determining the reasonableness, allocability, and allowability of costs in accordance with the provisions of the applicable USG cost principles and the terms and conditions of the award (see [Procurement Policy Standards \[3.3.2\]](#) on the following page).
- Maintain accounting records, including cost accounting records, supported by source documentation.
- Keep your USG funds for the project in a separate interest-bearing account, separate from all other funds, and even separate from other USG funds. The only exceptions are if your organization (or one of your subrecipients) receives less than US\$120,000 per year or if the interest-bearing account requires a minimum balance that is too high to make it practical to use.

### **Pre-award Survey of Your Financial System**

If your funding agency conducted a pre-award survey (see [Chapter 2](#)), the auditor checked whether your system met the minimum requirements. If your system fell short, you will have received a report of the deficiencies in your system.

- You must remit interest earned on the account in excess of US\$250 per year to USAID. (You may keep up to US\$250 to cover administrative costs.) Advise your AOTR before forwarding interest payments to:  
 Federal Reserve Bank New York (FRBNY)  
 33 Liberty Street, New York, New York 10045  
 TREAS/NYC FUNDS TRANSFER DIVISION  
 ABA # 0210-3000-4
- Accurately produce data necessary to complete the financial reporting requirements, including the SF-425. (For details on financial reporting requirements, see [Chapter 6](#).)
- Accrual versus Cash-Basis Reporting—USAID allows either cash basis or accrual accounting systems. If your organization maintains its records on a cash basis, you do not need to establish an accrual accounting system.

**Figure 8—Accrual versus Cash-Basis Accounting System**

Accrual Accounting System
An accounting method that records financial events based on economic activity rather than financial activity. For example, under accrual accounting, revenue is recorded when it is earned and realized, regardless of when actual payment is received.
Cash-Basis Accounting System
A method of bookkeeping that records financial events based on cash flows and cash position. This system recognizes revenue when cash is received and expense when cash is paid. In cash-basis accounting, revenues and expenses are also called cash receipts and cash payments. Cash-basis accounting does not recognize promises to pay or expectations to receive money or service in the future, such as payables, receivables, and pre-paid or accrued expenses. This is simpler for individuals and organizations that do not have significant numbers of these transactions, or when the time lag between initiation of the transaction and the cash flow is very short.

In addition, the USG may require fidelity bond coverage if your organization lacks sufficient coverage to protect the USG’s interest. (A fidelity bond is a form of protection that covers an organization for losses that it incurs as a result of fraudulent acts. It usually insures a business for losses caused by the dishonest acts of its employees.) If such a bond is required, be sure to obtain it from a company that meets USG standards.

### 3.3.2 Procurement Policy Standards

The USG has procurement regulations that dictate what you can buy, from where, how you must purchase and ship items, what taxes are applicable, and what documentation is required. The specific regulations are discussed in [Chapter 5](#), but this section discusses the procurement policies needed to govern your purchasing process.

*How does this help my program?*

As a steward of USG funds, one of your goals is to make sure your organization uses this money effectively to deliver needed services to beneficiaries. The procurement regulations are meant to ensure that you do not mishandle

**Procurement Policy Standards Key Points**

**Applies to:** All USG-funded partners and subrecipients

**Required for:** Annual Audit

**Verified by:** Annual Audit

**Governed by:** A combination of U.S. law, agency regulations, and the terms of your award

funding or use it to purchase dangerous or low-quality goods that could cause more harm than good. Establishing an appropriate procurement process helps protect your organization and your beneficiaries, and helps ensure that money is used efficiently to deliver needed services.

### Regulation Basics

- **Standards of Conduct**—Develop written standards of conduct for the employees and officers in your organization who are involved in selecting and overseeing procurement, including:
  - **Conflict of Interest**—Employees should not be involved in selecting or overseeing procurement if there is a real or perceived conflict of interest. This includes situations where the employee, any member of the employee’s immediate family, or the employee’s partner has a financial or other interest in the firm selected for an award. This includes any organization that employs or is about to employ the employee, family member, or the employee’s partner.
  - **Gratuities**—Employees must not request or accept gratuities, gifts, favors, or anything of monetary value from subagreement contractors or parties. However, you may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value.
  - **Disciplinary Actions**—The standards of conduct must outline the disciplinary actions to be applied to employees for violating these rules.
- **Free and Open Competition**—Encourage free and open competition to the maximum extent possible.
  - **Unfair Competitive Advantage**—Vendors who help you develop statements of work should be barred from bidding on that work.
  - **Clear Evaluation Criteria**—Solicitations should clarify the criteria your organization will use to evaluate bids.
- **General Procurement Procedures**—Include in your procurement policies:
  - Avoid purchasing unnecessary items.
  - Consider lease and purchase alternatives, where appropriate.
  - Elements to be included in your solicitations, such as:
    - description of technical requirements;
    - criteria to be used in evaluating bids;
    - minimum acceptable performance standards;
    - specific features of required items;
    - preference for products and services that use the metric system of measurement; and
    - preference for energy-efficient items and products that conserve natural resources.
- **U.S. Small, Minority- and Women-Owned Businesses**—When working in the United States, prime U.S.-based recipients try to use U.S. small businesses and minority- and women-owned firms. To achieve this, your policies should:
  - Consider whether a firm intends to subcontract with small, minority-, or women-owned businesses in your evaluation process.
  - Encourage contracting with consortiums of small, minority-, or women-owned businesses when a contract is too large for any single firm to handle individually.
  - Use the services of various USG agencies and organizations, such as the Small Business Administration and the Department of Commerce’s Minority Business Development Agency, in your solicitation process.

- **Procurement Instruments**—Specify when to use various procurement instruments, such as fixed-price contracts, cost-reimbursable contracts, purchase orders, and incentive contracts. Your policies should prohibit the use of “cost-plus-a-percentage-of-cost” or “percentage-of-construction-cost” methods of contracting.
- **Contractor Evaluation**—Clearly state that you will only enter into contracts with vendors that you believe can successfully complete the work required. Your policies should consider contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources. Your policies should also include a process for ensuring suppliers are not listed on the Excluded Parties List (see [Chapter 5](#)).
- **Documentation Procedure**—Include a process that records some form of price or cost analysis in connection with every procurement action. The cost analysis should include the allowability test (see [Chapter 5](#)).
- **Records for Large Purchases**—At a minimum, keep records with the following information on all procurements that exceed your small purchase threshold:
  - the basis for contractor selection;
  - justification for lack of competition when competitive bids were not obtained;
  - documentation on terrorism search (excluded parties list) and,
  - basis for award cost or price.
- **Contract Administration System**—Include a system for ensuring that contractors meet the terms, conditions, and specifications in the contract. You should also have a process for evaluating contractor performance that documents whether the contractor met the terms, conditions, and specifications of the contract.
- **USG Pre-Award Review**—If your organization does not have procurement policies in place that meet the minimum standards listed above (for example, if your organization had pre-award survey findings to this effect), your funding agency may impose increased monitoring of your award procurements, for example, by requiring a review of various documents (e.g., solicitation, cost estimates, etc.) for any procurements of US\$10,000 or more.

#### Small Purchase Threshold

The amount your organization sets, under which your procurement process may be simplified. For example, if your small purchase threshold is US\$1,000, you may have to have a minimum of three bids on items above that amount, but not on items equal to or below that amount. There is no USG requirement regarding what that amount should be.

### 3.3.3 Human Resources (HR) Policies

While a number of USG regulations touch on human resources-related issues (see Standards of Conduct regarding conflict of interest, gratuities, and disciplinary actions in [Procurement Policy Standards](#), above), only a few human resources (HR)-specific USG regulations apply to all recipients.

#### Human Resources Policies Key Points

**Applies to:** All recipients of USG funds

**Required for:** Annual Audit (particularly time tracking)

**Verified by:** Annual Audit

**Governed by:** Your Cooperative Agreement and funding agency regulations and in-country laws

## How Do HR Policies Help My Program?

People are your program’s most valuable assets. Having a set of HR policies does not restrict your staff and volunteers—rather, it helps guide and protect them, so they may contribute to the best of their abilities.

Some of the HR policies included in this section are required by local laws, U.S. law or your funding agency, while others are just practical recommendations for managing a positive, effective organization. Your organization should compile all these requirements in an employee handbook to share with your staff.

## Policy Essentials

- **Local Labor Laws and Regulations**—Organizations must comply with local labor laws where they employ staff. For example, there may be regulations preventing hiring discrimination or requiring certain additional policies or benefits.
- **Standards of Conduct**—Standards of conduct related to [procurement](#) are described above. You may want to broaden this to include other common workplace standards, such as barring sexual harassment or discrimination.
- **Time Sheet Tracking**—Time sheets are required for your annual audit for all personnel who are paid with USG funds, including contractors and part-time staff. In addition, volunteers must fill out simplified time sheets so you can track their hours if counting their contribution toward your cost-share contribution.
- **Due Diligence in Hiring Decisions**—You are required to have a summary of the candidate’s academic and work history (a curriculum vitae or CV) for every employee hired under your award and to verify his or her employment and salary history. The Cooperative Agreement does not require use of the SF-1420—The “Contractor Employee Biographical Data Sheet” (form [AID-1420-17](#), <http://www.usaid.gov/forms/AID1420-17.doc>) to gather the information. However, the “1420” is often used during the hiring process because it is an easy way to capture relevant information.
- **Faith-Based Organization Hiring Protections**—Under U.S. Equal Employment Opportunity laws, a faith-based organization (FBO) implementing a PEPFAR program has the right to hire people who share the organization’s faith to carry out its activities. If you choose to do this, make sure your HR policies are clear. You may wish to have a lawyer or HR expert review your policies before implementing them. Also, be aware that different rules may apply if you choose to pursue funding under a different USG program (that is, non-PEPFAR).
- **Drug-Free Workplace Policy**—Your Cooperative Agreement requires you to issue a drug-free workplace statement and provide a copy for each employee who will be working on your award. This statement must be signed, dated, kept on file, and available on request. The statement must include:
  - a declaration that the unlawful manufacture, distribution, dispensing, possession, or illegal use of a controlled substance is prohibited;
  - specific actions your organization will take against employees who violate that prohibition; and
  - conditions of employment under any award, which state that an employee must:
    - abide by the terms of the statement, and
    - notify you in writing if he or she is convicted of violating of a criminal drug statute occurring in the workplace no later than five calendar days after the conviction.

In addition, your organization is required to establish an ongoing drug-free awareness program to inform employees about:

- the dangers of drug abuse in the workplace;
- your drug-free workplace policy;
- any available drug counseling, rehabilitation, and employee assistance programs; and
- the penalties you may enforce for drug-abuse violations in the workplace.

This policy statement and program must be in place no later than 30 days after the effective date of your award.

You are required to notify your AOTR and AO immediately if an employee is convicted of a drug violation in the workplace. You must send such notification writing within 10 calendar days after the conviction and identify the employee's position title and the number of each award on which the employee worked.

Within 30 days of an employee's conviction, you must either:

- take appropriate personnel action against the employee, up to and including termination (as appropriate with your organization's HR policies and applicable labor laws), or
- require the employee to participate satisfactorily in a drug-abuse assistance or rehabilitation program approved by a national, state, or local health, law enforcement, or other appropriate agency.

## 3.4 Planning

The most important deliverable you are required to develop during the start-up phase is your workplan. A good workplan synthesizes all the technical, organizational, and financial planning for your program. It takes the program description approved in the Cooperative Agreement and translates it into a specific one-year implementation plan and budget that your funding agency must approve before you can start working.

This section begins with [project planning \(3.4.1\)](#), which should occur before you begin writing your workplan. Then, it covers [workplan development \(3.4.2\)](#) in detail. Finally, this section discusses another important deliverable required of many PEPFAR partners—the [marking plan \(3.5.3.1\)](#).

### 3.4.1 Project Planning

A project plan is the management foundation for your entire program. It sets the path to reach your goals by organizing activities along a timeline and links each task to human, material, and financial resource requirements.

A good project plan will help you:

- Estimate how long it will take to reach your goals,
- Understand the impact of changes in resources or targets,
- Explore alternatives by testing different resource-allocation scenarios.

Your implementation model is your organization's unique approach to reaching your targets. A project plan expresses this model in a timeline, along with all other activities required to execute your program.

## An Example of How a Project Plan Works

Let us assume an organization's goal is to provide psychosocial support to orphans and vulnerable children (OVC) in a geographic area with an estimated OVC population of 2,000. The organization places the children in groups of 20 and takes them through a 5-week activity. Each group is led by a trained community volunteer, and the organization hopes to recruit 10 volunteers. It takes two weeks to train a community volunteer, and each year, the volunteer is required to take another one-week refresher course.

A project plan will consider these parameters in a timeline and show how long it will take to reach a goal with the given resources.

In our example, if each volunteer works with just one group at a time, he or she can conduct 10 group sessions per year, reaching a total of 200 kids per year. With 10 community volunteers, the organization could expect to reach all 2,000 children in 1 year.

A project plan will also go into much greater detail about all of the tasks and costs necessary to recruit and train the volunteers, identify the beneficiaries, and monitor the groups. If the funding agency were to ask the organization how much it would cost to put an additional 3,000 children into the program in the next year, the program manager could turn to the project plan, see that it would take recruiting and training an additional 15 community volunteers, and then estimate the total time and costs necessary to do so.

## Getting Started with a Project Plan

Every program manager approaches project planning differently, and numerous books and online resources detail various approaches. This section covers several common questions to consider as you get started with your project plan.

- **Where do I start?**

Start by breaking down your project into lists of:

- major project phases, such as Start-Up, Implementation, and Close Out;
- major deliverables with known fixed dates, such as workplans, performance, and financial reports; and
- major activities, such as training, implementation activities, and evaluations.

Begin laying these out in a timeline with your best guess about how long things will take. Refine your timeline by breaking down each activity into specific tasks and showing when one must be completed before another can begin. For example, to train volunteers, you must recruit the volunteers, hire a trainer, develop training materials, and conduct the training. You cannot start the training until the first three tasks are complete.

Assign tasks to individuals and estimate any associated costs. This helps you make resource-allocation decisions along the way. For example, it will help you decide whether you have enough training demands to require a full-time trainer or you need to hire a consultant for a specific training.

Before you know it, you are putting together a very detailed picture of your entire program.

- **Do I need special software?**

Many project managers use project-planning software. This is helpful in automating many planning tasks and visualizing the timeline. Once you become familiar with

some of the more advanced features, you can also use project-planning software to develop different resource-allocation scenarios and show budget effects of changes in resources. Project management software ranges greatly in price, but many free, open-source tools are available online with features similar to the more expensive packages.

If you find that project planning software helps, then use it, but it is not a requirement. If it causes you problems, then develop a plan using whatever system works best for you and consider taking a project-planning software training course at some point.

- ***Am I tied to this plan?***

Do not worry; a project plan is flexible. As you implement, you will refine your plan by documenting what really happens. This way, your project plan becomes a wealth of information you can draw on if you expand your project or start a similar project elsewhere.

### 3.4.2 Workplan

As you begin developing your workplan, remember that the Cooperative Agreement describes what you will do; the workplan describes how you will do it.

***Your workplan is a detailed, narrative description of your project plan.*** It outlines exactly how you plan to implement the first year of your program. Although your award may be for several years, you generally do workplans annually to allow for year-to-year program adjustments.

Workplans are based on the program description in your Cooperative Agreement. While the program description expresses what you plan to accomplish over the entire life of the award, your workplan provides further details.

The three major components of a workplan include:

- Activity Descriptions (or Implementation Plans)
- Budget
- M&E plan

These three sections should be linked together, so the activities explain the steps taken to implement each activity; the budget shows how the funding ties in; and the M&E plan tracks progress and demonstrates the effectiveness of your program.

Workplans also include summary information, management and staffing plans, marking and branding plans, other supporting materials, and other sections, as requested by the donor.

The workplan is a key component of both your annual responsibility to the donor and your own internal project management process. When the USG provides funding under Cooperative Agreements, the funding agency retains the right to approve your workplan before it releases funding. Therefore, the workplan is a tool for you to communicate to the donor how you will be executing your program. In addition, the workplan is an excellent tool for you to use internally to better plan and manage your activities.

### 3.4.2.1 *Workplan Sections*

Sometimes the donor may require you to use a template, but often you will be on your own to develop your workplan. Below are six major sections that workplans generally include:

- I. [Executive Summary](#)
- II. [Implementation Plan](#)
  - a. [Workplan Logic Matrix](#)
- III. [Monitoring and Evaluation Plan](#)
- IV. [Budget](#)
- V. [Management and Staffing](#)
- VI. [Marking and Branding Plan](#)

In addition, workplans often include [appendices](#) with supporting material and other sections the funding agency requests.

#### **I. Executive Summary**

The executive summary, no more than two pages in length, describes your project at a high level. It includes the total budget required for the year broken down by major activities and a summary table of PEPFAR targets you plan to reach during the year. If you are implementing a project in multiple countries, include a general overview and then a country-by-country overview. If you are implementing multiple projects or distinct activities, provide a brief (one paragraph maximum) description of each.

If you are in the middle of executing a multiple-year program, you may want to include a short summary of project progress to date as it relates to the current workplan. For example, you may explain how a slow start-up in the first year affected original plans and that your second-year workplan includes adjustments to stay on target. However, refrain from getting into a detailed discussion of progress; save that for your annual and semi-annual performance reports. Also, resist getting overly detailed about how you are adjusting each activity. Put that detail in the activity descriptions in the implementation plan.

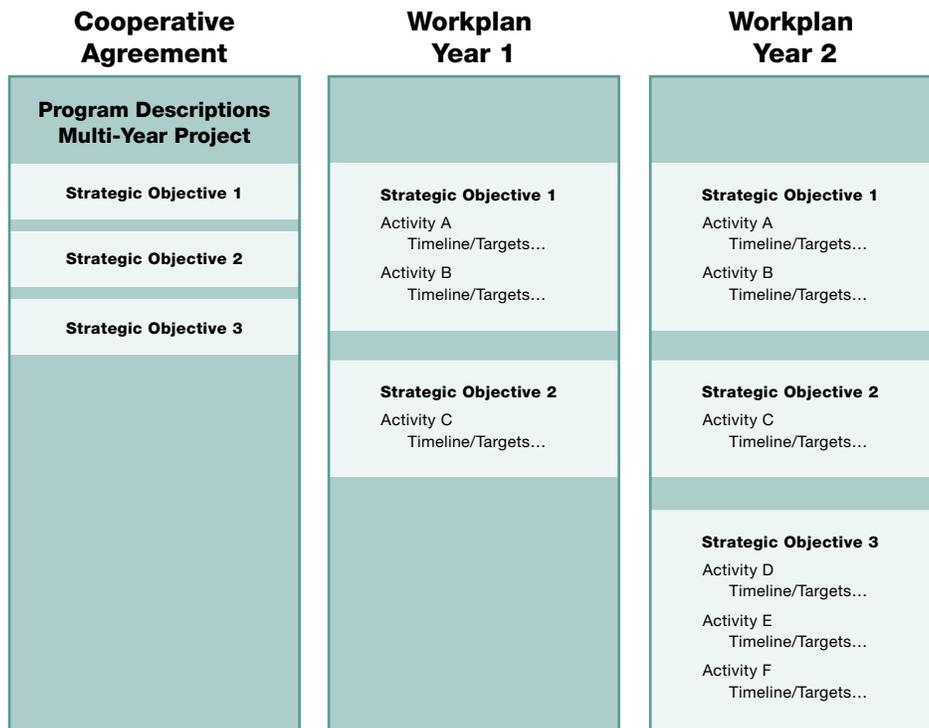
#### **II. Implementation Plan**

The implementation plan, the heart of your workplan, contains detailed descriptions of each activity. You can take different approaches in organizing this section, based on the number of countries and the structure of activities in your program.

Some partners start with headquarters-level activities that apply to all countries—for example, development of training materials. You should discuss activities that are implemented in multiple countries, even if they are the same activities, separately at the country level. This is for the convenience of the in-country teams reviewing your workplan, and because the same activities will have different timelines, budgets, and targets at the country level.

At the country level, programs are then broken down into strategic objectives, which link directly to the program description in your Cooperative Agreement. Your activity descriptions then fall under your strategic objectives as shown in Figure 9. Generally, your activities should align closely with the PEPFAR targets—that is, if you are reporting on the number of individuals tested, then one of your activities might be Voluntary Counseling and Testing (VCT). Be sure to explain all targets that you have promised to achieve. If you plan to report on a target, there must be an activity description explaining how it will be achieved (see section 3.4.2.2 on [Activity Descriptions](#) below).

Figure 9—Workplan Implementation



**a. Workplan Logic Matrix**

Your implementation plan may include a Workplan Logic Matrix; this matrix links activities, timelines, and targets. Generally, the Workplan Logic Matrix will be similar to the chart portrayed in Figure 10, laid out in the same order as your workplan (Countries, Strategic Objectives, and Activities). For each activity, 6-month and 12-month outputs are listed. The 12-month goals will be cumulative. The 6- and 12-month outputs will align with your semi-annual and annual performance reports. The Workplan Logic Matrix also shows your targets, subrecipients, and geographic location for each activity.

Figure 10—Sample Workplan Logic Matrix

Activity	Outputs— 6 Month	Outputs— 12 Month	PEPFAR Target	National Indicators	Subrecipients	Location
Kenya						
Strategic Objective 1: Prevent the spread of HIV/AIDS to high-risk population.						
Activity 1: Youth Clubs	Establish 3 clubs	Establish 6 clubs	Reach 60 individuals through community outreach that promotes HIV/ AIDS prevention through abstinence	Reach 60 youth under 25 with HIV/ AIDS prevention messages	Nairobi Youth Alliance	Nairobi
Activity 2: Preventions with Positives	Train 5 peer educators	Train 10 peer educators	Train 10 individuals to promote HIV/AIDS prevention through other behavior change beyond abstinence and/or being faithful	Train 10 individuals on prevention with positives	Nakuru Positive Living Club	Nakuru

### III. Monitoring and Evaluation Plan

Monitoring and evaluation plans have the following elements:

- PEPFAR Indicators, broken down by country and activity;
- additional USG in-country indicators broken down by country and activity;
- additional indicators you plan to use to monitor your programs, broken down by country and activity;
- detailed narrative that describes your M&E process; and
- precise definitions you use to measure targets.

The narrative should include information on:

- how data are gathered;
- how they are input into your M&E system;
- frequency with which data are gathered and entered;
- what, if any, error-checking or other controls ensure accuracy and data quality;
- how you will use the data for program improvements; and
- overview of the training you give to staff involved in gathering data.

Finally, you should include precise definitions for all indicators. For example, when you count someone as “trained,” what is your threshold? Is there a test or a minimum number of classes the individual must attend? (For additional help, refer to the PEPFAR Indicators Reference—<http://www.pepfar.gov/documents/organization/81097%20.pdf>.)

## IV. Budget

The budget section includes a budget narrative, refers to an attached budget, and identifies any international travel planned. The budget spreadsheet and the budget narrative should break down the budget into standard USG budget categories.

### Significant Rebudgeting

Moving funds between budget categories above a certain threshold set by your funding agency requires agency approval.

The narrative should have a one- or two-paragraph overview on overall spending. Is the program on track from a spending perspective? If not, what adjustments do you plan to shift, slow down, or speed up spending? Your narrative should then give at least a one-paragraph description of the primary costs each category will incur.

In addition, if you foresee rebudgeting, discuss whether these changes will meet the significant rebudgeting threshold. Explain your plans for rebudgeting, and how you will make up shortfalls in areas where you shift money out.

## V. Management and Staffing

The management and staffing section includes an organization chart that shows the reporting structure and identifies personnel involved. In addition, a narrative may explain staffing strategies, such as volunteer recruitment and retention plans, training, and in-country or subrecipient management strategies.

For multiple-year agreements, workplans after the first year may focus on any recent or future human resources changes and their impact on plans for the upcoming year. Keep in mind that your focus should always be on the impact on implementation for the upcoming year. Semi-annual and annual performance reports are a better vehicle for discussing past-year issues and progress.

## VI. Marking and Branding Plan

The marking and branding plan, submitted to USAID before award and included only in the first year work plan, explains how you will comply with the marking and branding requirements of your award. Requirements for marking and branding your program deliverables vary by agency and are outlined in your Cooperative Agreement (see [Marking and Donor Requirements \(3.5.3\)](#)).

This section also contains your strategy for marketing and promoting your programs and outlines the costs associated with implementing marking and branding requirements.

### Appendices

The inclusion of appendices varies widely from partner to partner and program to program.

Examples of documents you may wish to attach in an appendix include:

- documents in other formats that are difficult to integrate into the main document (for example, a workplan budget created using Excel);
- graphical documents, such as organizational charts;
- supplementary information that provides additional details on your program, such as curricula summaries or training agendas; and
- further information on subrecipients, including MOUs.

While appendices can be helpful, be wary of putting too much in an appendix. If you find your workplan doubling in length after including the appendices, consider whether they are really helpful to your AOTR.

An alternative is to attach a summary list of materials that your program uses with a short synopsis of each item. This list may include data-gathering forms, training manuals, information pamphlets, handouts, etc. The list should include the language in which it is written, the number of pages, who developed the document, and when it was last revised. Your AOTR then may request an individual document later if needed.

### 3.4.2.2 *Activity Descriptions*

Activity descriptions are a central part of your workplan, so it is a good practice to start writing your activity descriptions first, and then build the rest of the workplan around them.

The first step is to break down your planned work into “activities” and “strategic objectives.”

#### **What Is an Activity?**

Sometimes, it is difficult to define an “activity.” Is “prevention” an activity? Or do you break that down into youth prevention, training of trainers, and curriculum development? Do you go further and break down youth prevention into specific campaigns? What about cross-cutting activities such as fighting stigma—where do those fit in? What do you do when several different “activities” are all interrelated?

Consider the following guidelines if you are having difficulty organizing your activities:

- An activity is a series of tasks with one or two primary outcomes.
- The outcome(s) should tie directly to your targets. These targets can be PEPFAR targets or your own, internally defined targets.
- If you have a number of different targets for an activity, try breaking them down.
- Are the tasks under an activity closely related, and do they all build toward the same goal? If not, consider reorganizing your activities.

#### **Activities and Strategic Objectives**

Workplans group activities under strategic objectives (SOs). A strategic objective is a high-level goal that your activities work together to achieve. It ties back to the program description in your Cooperative Agreement and sometimes even back to the organization’s mission statement. If the goal is to improve the lives of OVC, then that may be one of the organization’s strategic objectives. The activities that work toward that goal will fall under that SO.

If an activity does not fit easily under one SO, try to determine what the primary outcome is. For example, perhaps an event being sponsored promotes prevention and voluntary HIV/AIDS counseling and testing (VCT); fights stigma; and encourages the prevention of mother-to-child HIV transmission (PMTCT), but the primary goal is prevention. If there are other strategic objectives for VCT, stigma, and PMTCT, you can always mention how this activity links to those other strategic objectives in your activity description.

There is no right or wrong way to break down the work into activities and strategic objectives. Keep it simple and focus more on the content than the organization.

## Writing Activity Descriptions

A good activity description will be able to convey the following:

- what the plan is to do;
- how it will be done;
- how long it will take;
- who will be doing it;
- how the activity links to other activities, either within this project or other partner projects (including referral networks);
- major costs associated with doing this work;
- outcomes you expect; and
- how you plan to measure these outcomes.

The primary purpose of activity descriptions is to lay out the technical details and timelines, which should be covered in depth. Other areas (staffing, budget, and M&E) do not need to be as comprehensive, since the reader will refer to those sections in the organization's workplan. However, it is very helpful to discuss how a particular activity relates to those sections.

Within each activity description, refer to partners, materials, or curricula that you plan to work with or use. Put details about your subrecipients or the curricula you propose to use in an annex to avoid straying too far from discussing implementation.

## Activity Description Outline and Example

The following is an activity description outline:

- Activity name
- Type of program/program area
- Geographic scope of activity
- Technical description of project
  - Include details on curricula, test kits, drugs, and any other details about interventions.
- Current status of the activity (is it a new or continuing activity?)
  - If it is a new activity, what steps do you need to take to get the project started? How long will start-up take?
  - If it is continuing, are there any changes/expansions this year?
- Include any other specific steps that are necessary to reach this year's targets, such as the need to identify locations, hire or recruit volunteers, develop materials, complete major procurements (vehicles), etc., as well as estimated timelines for completion
- Major costs associated with the activity
- Who will do the work—staff, volunteers or subrecipients
- Targets estimated for the activity
- Other indicators you will monitor to measure impact and quality
- Linkages with other programs and any additional effects the program may have

**Figure 11—Sample Activity Description: Community Home-Based Care**

### Community Home-Based Care

The Community Home-Based Care (HBC) activity is a home-based palliative care program set up and maintained by volunteers from the local community. This activity is aimed at 20 rural communities in the Southern Nations, Nationalities, and People's Region (SNNPR) in Ethiopia.

This program uses the "Home-Based Care in Ethiopia" training materials developed by XYZ NGO, and approved for use by the Ethiopian Government. The materials have been translated into the local language most widely spoken in SNNPR.

This project will start up as soon as the workplan is approved. Our Training Manager, Almez Hailu, a registered nurse with five years of HBC experience, completed training in the curriculum in August. She will travel to SNNPR within one month to set up and conduct the first training of trainers. We have partnered with the SNNPR Regional Health Bureau to provide 10 trainers who are familiar with local languages and Amharic. The training consists of a two-week course and two weeks of "hands-on" supervised home interventions. After the trainers have completed their training, they will be dispatched to the 20 villages in 5 groups of 2. They will spend approximately one month in each village. Over the course of the year, they will go to each village once.

Once in the village, they will work with the local community to identify individuals needing care and will establish home-based care committees, starting with the families of people living with HIV/AIDS (PLWHA). They will work with the committees to train volunteers and identify additional needs, such as nutrition, treatment, and testing. Since the trainers are from the regional health office, they will draw on those resources for referrals.

Once the 10 individuals are trained, we expect each of them to reach out and train at least 10 additional volunteers in each village, bringing the total trained to 210. Based on the current prevalence data, we estimate there are, on average, 25 PLWHA in each village. Our goal is to provide at least weekly visits to each of those PLWHA after we have identified them and trained the volunteers. That would mean we would reach an estimated 500 individuals with home-based palliative care.

The community care committees will learn basic recordkeeping and will receive simple forms to complete during each visit. Our M&E Field Staff will travel once a month to each village to gather the data and to take oral reports from the committees on the status of their program. These staff members will also be able to resupply home-based care kits and answer any questions the volunteers may have. The Field Staff will stay in each village for one week and will visit multiple homes during their visits to ensure quality control.

We will also be working with the Regional Health Bureau office to monitor effects through referrals to other treatment, testing, and orphans and vulnerable children programs.

### 3.4.2.3 *Workplan Budget*

Your workplan budget should include six elements:

- summary budget spreadsheet;
- detailed budget spreadsheet;
- budget narrative;
- identification of international travel;
- identification of items that will require waivers or approvals; and
- cost-share/matching details.

It is recommended that the budget spreadsheets—both the summary and detail—be in Microsoft Excel® format, and it is best to put them in one file under separate worksheet tabs. Ideally, the summary tab will total automatically from the detail.

## Summary Budget Spreadsheet

The summary budget will show the totals for each of the USAID standard budget categories broken down by headquarter costs and costs in each country. The spreadsheet should also show the cost share. The [standard budget categories](#) are incorporated into the sample summary budget spreadsheet in Figure 12.

**Figure 12—Sample Summary Budget**

Summary Budget for NGO X					
		Year 1	Year 2	Year 3	Total
A.	Personnel	US\$45,000	US\$47,250	US\$49,612	US\$141,862
B.	Fringe Benefits	US\$9,000	US\$9,450	US\$9,922	US\$28,372
C.	Consultants	US\$10,000	US\$10,500	US\$11,025	US\$31,525
D.	Travel, Transportation	US\$22,000	US\$23,100	US\$24,255	US\$69,355
E.	Equipment	US\$40,000	US\$0	US\$0	US\$40,000
F.	Supplies	US\$4,990	US\$882	US\$926	US\$6,798
G.	Contractual Services (subcontracts)	US\$135,000	US\$141,750	US\$148,837	US\$425,587
H.	Program Costs	US\$75,000	US\$78,750	US\$82,688	US\$236,438
I.	Other Expenses (e.g., audit)	US\$25,000	US\$26,250	US\$27,563	US\$78,813
J.	Indirect Costs	US\$0	US\$0	US\$0	US\$0
	<b>TOTAL</b>	<b>US\$365,990</b>	<b>US\$337,932</b>	<b>US\$354,828</b>	<b>US\$1,058,750</b>

## Detailed Budget Spreadsheet

The budget detail breaks down the costs further, showing the detailed costs for each country, subrecipient, and activity. Each line item should include unit costs as well.

Ideally, you will calculate the totals in the detailed budget spreadsheet using formulas and will link them directly back to the summary spreadsheet. This will help tremendously if you need to rebudget later.

Figure 13 is a sample of one section—A. Personnel—of the detailed budget spreadsheet for **NGO X**.

Figure 13— Sample Detailed Budget

Year 1 Detailed Budget (Jan 1, 2010 to Dec 31, 2010)					
A.	Personnel	Position	Rate per Month	Number of Months LOE*	Year 1 Total
1.	Darlene Director	Project Director	US\$1,000	12	US\$12,000
2.	Frank Finance	Finance Manager	US\$900	12	US\$10,800
3.	Paul Program	Program Officer	US\$800	12	US\$9,600
4.	Patience Program Assistant	Program Assistant	US\$650	12	US\$7,800
5.	Robby Receptionist	Receptionist	US\$400	6	US\$2,400
6.	David Driver	Driver	US\$400	6	US\$2,400
	<b>SUB-TOTAL</b>				<b>US\$45,000</b>

\*LOE—Level of effort.

### Budget Narrative

A budget narrative should reference both the summary and detailed budget spreadsheets. It should start by going through each of the standard budget categories and give a short description of the primary costs that will be incurred. Certain budget categories require further explanation, as follows:

- **Personnel**—Identify Key Personnel and the percentage of their time dedicated to the project.
- **Travel**—Identify international travel, as discussed below, and provide justification for it. For each proposed international trip, provide the following:
  - number of people traveling;
  - approximate travel dates;
  - itineraries/destinations; and
  - justification.
  - even if your workplan and budget are approved, you will still need to request specific approval prior to each trip.
- **Equipment**—Identify equipment that will require waivers or approvals, including vehicles, pharmaceuticals and agricultural products, and provide a justification. Also identify procedures you will follow in procuring them (for example, getting multiple bids).
- **Indirect Costs**—Costs that are required to carry out a project, but are difficult to attribute to a specific project, such as electricity or administrative support staff. If a [NICRA](#) (Negotiated Indirect Cost Rate Agreement) is established, include the rate and how it is calculated. Also state whether the NICRA is the provisional or final rate. (For more information on Indirect Costs, see [Chapter 7](#).)

The narrative should also discuss the status of the program’s overall spending. Is the program on track from a spending perspective? If not, what do you plan to shift, slow down, or speed up spending?

Finally, provide a brief narrative explaining your organization’s contributions to the project that apply to your cost share.

### 3.4.2.4 Four Workplan Writing Tips

#### 1. *The Workplan Must Be a Stand-Alone Document.*

Your funding agency may receive inquiries about your program from in-country or USG officials. When these questions arise, your AOTR will look first to your workplan for answers. Therefore, your workplan must be a stand-alone document that will answer questions about what you are doing, where and how you plan to do it, associated costs, and other key information about your project and project team.

#### 2. *Develop the Project Plan Before You Write.*

Your workplan should reflect your [project planning \(3.4.1\)](#) process. One of the biggest mistakes partners make is not allowing enough time to complete their proposed activities. This is because the workplan usually emphasizes targets and budgets, without focusing very much on timelines. However, if you develop a detailed project plan first using a timeline, you will do a better job of writing a workplan with realistic timelines.

#### 3. *Write the Activity Descriptions First, the Executive Summary Last.*

It is usually easiest to start your workplan with the individual [activity descriptions \(3.4.2.2\)](#). Once you describe all of your activities thoroughly, move to the M&E, Budget, Management, Staffing and Marking and Branding sections. Finally, once all this is finished, write the Executive Summary.

In addition, if your implementation plan relies on subrecipients, include them as early as possible in the planning process to give them ample opportunity to contribute.

#### 4. *Consider Length.*

The length of a workplan varies according to the size and complexity of your program. Length may be specified, and good workplans stay within the limits to be responsive. It is not the length that determines the quality of a workplan.

### **What Makes a Good Workplan?**

The workplan describes in detail how you will implement your program. The following are the three components of a good workplan:

- The workplan describes activities thoroughly and completely, so that someone who is unfamiliar with the project will be able to understand it.
- The different sections of the workplan are connected. For example, if the activity description says that 50 people will be tested, then the M&E section will describe how it will determine whether 50 people have been tested, the Budget section will account for the cost of testing 50 people, and the staffing section will show how the organization will hire and train someone to test those 50 people.
- The partner can achieve the proposed activities within the proposed time frame and budget.

### 3.4.2.5 *Workplan Review and Approval*

Once you complete your draft workplan, submit it electronically to your AOTR. Your AOTR will then coordinate a technical review with various USG experts and a field-level review in coordination with your field Activity Manager.

The review process varies, depending on how well your plan fits with current PEPFAR guidance and the in-country program. The more effort you put into aligning your plans with those of the host government and complying with technical guidance and best practices, the smoother your review process will be.

You may be asked to make changes to your program, ranging from minor fixes to major program reorganization. Again, major changes generally occur only if your program is not in line with guidance or host-country plans. If these changes affect your targets or budget, be sure to alert your AOTR. Major changes that require rebudgeting or changes in scope or targets may require a modification to your agreement.

Generally, the review process for the first year will take longer and will involve more revisions than will subsequent reviews.

Once you have made all requested changes, your AOTR will do a final review and issue a formal workplan approval. At this point, if you are planning to operate on a reimbursement basis, you can begin implementing immediately. If you are operating on an advance-funding basis, then your AOTR will arrange for your award to receive an additional obligation, on which you can begin to draw. The obligation may take as long as one month, with an additional two weeks for funds to get to your bank account. Be sure to plan accordingly and manage the expectations of project stakeholders.

There is one important exception: If your organization still has outstanding pre-award conditions that you have not met by the time you are ready to implement, the USG may not clear your organization to receive funding. (For more information about pre-award conditions, see [Chapter 2](#).)

### 3.4.3 Starting Your Monitoring and Evaluation (M&E) System

Experience shows that it is good practice to consider M&E from the start. While many people have heard of evaluations that take place at the end of project, evaluation is not just an end-of-project activity, because to measure change, you must have a starting point or baseline. That means collecting data before the intervention starts and over the course of its implementation.

Although often mentioned in the same breath, monitoring and evaluation are, in fact, two distinct activities, related but not identical. What they have in common is that they seek to learn from what you are doing and how you are doing it.

Monitoring involves tracking your project's progress, which means systematically gathering and analyzing information about what you are doing and whom you are reaching. It provides the basis for evaluation. Evaluation is the comparison of actual project impact against the agreed strategic plans. It looks at what you set out to do, at what you have accomplished, and how you accomplished it.

Your monitoring and evaluation (M&E) system is part software, part policy, and part process. It gathers information on dozens of data points throughout your program so you can track progress and analyze the effectiveness of each activity.

#### M&E System Setup Key Points

**Applies to:** All recipients of PEPFAR funds

**Required for:** Performance Reporting and PEPFAR In-Country Reporting

**Verified by:** Data Quality Assessments

**Governed by:** PEPFAR Guidance

### How Does This Help My Program?

Setting up an M&E system is more than just building a spreadsheet or database. You must also understand your overall strategic objectives and figure out how to track activities to make sure you are achieving goals.

By carefully designing an M&E system that is user-friendly and responsive to the challenges of operating in the field, you will have a powerful tool at your disposal to track the progress and impact of your program, as well as data to guide its refinement.

#### 3.4.3.1 Setting Up an M&E System

The following section outlines several important considerations to keep in mind as you set up your M&E system. Numerous free M&E resources are available on the Internet, a number of which are listed in the box to the right, for further reading. In addition, a special section on baseline assessments (see the box on page 56) can help you start gathering baseline data.

#### Five Selected Online M&E Resources

- ▶ PEPFAR Indicators Reference Guide  
<http://www.pepfar.gov/documents/organization/81097.pdf>
- ▶ MEASURE Evaluation's M&E Capacity-Building Tools  
<http://www.cpc.unc.edu/measure/tools/monitoring-evaluation-systems/me-capacity-building>
- ▶ The Evaluation Wiki  
<http://www.evaluationwiki.org/>
- ▶ TSF Southern Africa's M&E of HIV/AIDS Program Resource Packs  
[http://www.tsfsouthernafrica.com/guides/me\\_hivaids/index.htm](http://www.tsfsouthernafrica.com/guides/me_hivaids/index.htm)
- ▶ M&E News  
<http://www.mande.co.uk/>

### 1. Plan Your M&E Timeline.

What key deliverables does your M&E system contribute to, and when are they due?  
For example:

- When are M&E-related reports due (see [Chapter 6](#), Reporting: Requirements and Benefits)?
  - In-country PEPFAR and host government reporting requirements?
  - Funding agency performance reporting requirements?
  - Final report?
- How else will you be using the data for internal program management?
  - To feed into annual budgeting and work planning?
  - Mid-term evaluation?
  - Final evaluation?
  - Other regular program monitoring?
  - As a tool for decisionmaking? Long-term programmatic goals and objectives should be based on performance and feedback from the field, including feedback from intended beneficiaries. Over and above funding agency reporting requirements, M&E plans should include indicators to track progress toward long-term sustainability

Map these items out on a timeline to ensure that your system is prepared to deliver the data you need on time.

### 2. Use Your Program's Objectives to Define Indicators.

PEPFAR has several required indicators that will define a portion of the data you collect. The host government may also require programs to report country-specific indicators.

In addition, you will want to define your own indicators, which you will use to measure impact. You should align these program-specific indicators with your strategic objectives, and they should help measure your success at meeting them.

### 3. Choose Appropriate Data Collection Methods.

A strong M&E plan will provide a sense of how many beneficiaries receive project support as well as the changes this support brings about in their lives. Different data collection methods gather information that answers both of these questions, and it is important to make careful decisions about the types of data collection methods to use to tell a story about your project results.

Data collection methods should match the indicators developed for the program, be appropriate to the context, and be easy to use.

### 4. Design a Paper Process First.

When staff visit beneficiaries, what data will they need to capture? How will they record the data? How will you consolidate and analyze the data for reporting?

Design your process step-by-step with paper-based forms first. Later, you may choose to automate or computerize certain processes.

5. *Take an Implementation-Friendly Approach.*

What challenges does your program face in the field? Is travel to your program in rural areas expensive and time-consuming? Do you have good Internet access? What sort of literacy rates can you expect from volunteers or field staff, including computer literacy?

If you take into account the realities your partners in the field face, you can use simple techniques to make your system more field-friendly. For example, use pictures and icons rather than words if there is limited literacy; have paper forms that match computer forms to help data entry; and set up a paper-based, backup system in case a computer is unavailable for a time.

6. *Streamline and Automate Processes Where Appropriate.*

Once you have an overview of your system, you will want to streamline and automate processes where appropriate.

One example of a process that may be automated is the regular reporting to PEPFAR. Determine how you will input data into the PEPFAR country team's databases. Some countries have a Web interface; others have spreadsheet templates. Ensure that your system is compatible and can input data directly into these systems if such an option is available.

7. *Design Training and/or Reference Materials for the Field.*

Once your system is designed, create training and reference materials for the staff. Understand the particular challenges field staff may face and provide guidance to help them. One particularly helpful item is a list of clear definitions of your indicators and guidance on exactly what to count.

8. *Test Your System.*

A practice run of your system, from beginning to end, can spot data-capturing issues and technical problems, so you can address them before implementation.

9. *"Push Down" Analysis Opportunities and Incorporate Feedback.*

Too often, M&E systems feed data up the reporting chain, from communities to program offices where analysis and learning takes place, but they do not push it back down to the community level. Communities and implementing subrecipients benefit greatly from receiving feedback and from learning how to use the data to perform their own program analysis. These systems do not need to include complicated data tools. A small community group can use something as simple as a flip chart with activities and beneficiaries to see which clients are receiving what services each month.

Consider systems that allow for community-level analysis and ensure that all analysis done at program office headquarters is sent back to the implementers in the field, so everyone can learn from the data.

### Baseline Assessments

A baseline assessment gives a snapshot of the community or targeted beneficiary group prior to the start of a project. It may include data on communities, households, and/or individuals, depending on the specific goals of the project.

These data may be used prior to implementation to refine the project design. The assessment is repeated during the project to track progress and help make adjustments, and at the end of the project to measure the overall impact of the project. The baseline assessment is a critical component of your M&E system.

Data from in-country sources, such as the Ministry of Health or National AIDS Council, may contribute to your baseline. In addition, other NGOs operating in the same country where you are working may have data they are willing to share. However, these are a supplement to your survey of the communities where you intend to work. This aspect of the assessment should focus specifically on collecting data relevant to your project.

You can contract baseline assessments to an independent evaluator, especially if your M&E staff are not in place from the start. Be sure to save all documentation of your baseline assessment, including all tools and forms, for evaluators to use later to conduct mid-term and final evaluations.

### 3.4.3.2 *Linking Program Targets with Impact Indicators*

Another challenging aspect of any project is understanding the impact—showing significant, sustainable changes in a target population or community after an intervention is completed. This is something that your organization should be thinking about in developing the strategic plan and project proposal and during project implementation as part of monitoring and evaluation. The possibility of contributing, with other USAID and other donor-funded activities, to achieving sustained and significant impact should have influenced your programmatic focus.

Impact differs from measuring outputs, for example, counting the number of people trained, the number reached with certain interventions, etc. Impact (<http://www.outcomemapping.ca/resource/resource.php?id=189>) also differs from looking at outcomes, the short- to medium-term observable behavioral, institutional, and societal effects of the intervention's outputs. Impact indicators are about real change over time. They attempt to measure whether your work is having an effect on the quality of life of your program's beneficiaries. PEPFAR describes impact as a long-range, cumulative effect of programs such as change in HIV infection rate, morbidity, and mortality.

It is unlikely that you will be able to measure the impact of your interventions over the life of the NPI award as impact is rarely the result of one program and often is only seen over a long period. However, understanding to what impact indicators your project might contribute will allow you to look more strategically at your project and at what other indicators may help you understand whether your activities are contributing to the longer-term impact.

Impact indicators may measure, for example: percentage of most-at-risk populations (injection drug users, men who have sex with men, sex workers) who are HIV-infected; or quality of life for People Living with HIV/AIDS (PLWHA). If you are providing care and support services for PLWHA then you are likely contributing to an improved quality of life. You can use these objectives to track impact indicators—for example, you may want to follow up with PLWHA who discovered they are HIV-positive and received counseling to learn how many:

- sought treatment,
- used condoms,
- retained their jobs, or
- reported suffering discrimination.

Linking project progress to the impact you want to support helps you to monitor the amount of work your program is doing and the quality of your interventions. It can also help you improve your interventions and, thus, the lives of beneficiaries.

## 3.5 Marketing and Communication

Marketing and communication are key components of any program. Not only do they help you communicate with funders, beneficiaries, and other stakeholders, but they also alert people to the great work you do and are critical to meeting the needs of your donors. Over the long term, this can mean building support among local leaders and beneficiaries, developing partnerships, and receiving donor funding.

While the different activities involved in marketing and communication cut across many phases of your award and continue throughout your program, it is best to begin planning them during start-up. The earlier you prepare and start implementing your marketing and communication plan, the more people you are likely to reach and the more people your program will benefit.

### *What Is Marketing?*

Often when we think of “marketing,” we think of advertising products for sale, but marketing is much more than that. Anytime you are trying to communicate something to a group of people outside your organization, it can be considered marketing. This includes:

- informing potential beneficiaries about the services you offer;
- appealing to potential volunteers to contribute time to your program;
- sharing your success stories with the NGO community; and
- informing the public about your work, including crediting your donors.

Marketing includes a variety of communication channels, methods, and strategies, ranging from putting up signs and applying logos to hosting promotional events and building a Web site. Together, these add up to your organization’s public image, which, when developed effectively (and reinforced by the good work of your staff), will help you earn the trust and confidence of beneficiaries, local leaders, and donors.

This section discusses several key concepts in NGO marketing, including [communication planning \(3.5.1\)](#), [branding \(3.5.2\)](#), [marketing requirements \(3.5.3\)](#), [demonstrating impact \(3.5.4\)](#), and [communication ethics \(3.5.5\)](#). Each of these topics is a component of your marketing strategy and can contribute to your organization's ability to sustain its activities through effective communication.

### 3.5.1 Developing a Communication Plan

A communication plan provides direction on how to shape your image, create demand for your services, and build relationships with key target audiences.

Like a project workplan, a communication plan lays out:

1. strategic objectives;
2. activities or tactics to achieve these objectives;
3. how these objectives and activities are supported; and
4. expected outcomes (“targets”) against which you can measure the success of each activity.

A communication plan may also include special policies related to communication, including [ethical guidelines \(3.5.5\)](#), discussed later in this chapter.

Developing a communication plan for your organization should involve a cross-section of staff, including program and financial managers, who participate in various activities. Your plan should cover communication with beneficiaries, donors, other NGOs, and potential volunteers.

The plan defines what you want from your communication and what you need to do to get it. As with any planning process, it starts with answering some basic questions:

- Why do we want to communicate with groups outside of our organization (goals)?
- What do we hope to achieve (outcomes)?
- To whom do we want to communicate it (audience)?
- What do we want to communicate (message)?
  - the services we offer;
  - why they need these services (that is, how they will benefit from them); and
  - who is making this work possible (that is, giving credit to the donor).
- Who will communicate the message (messengers)?
- How do we want to communicate it (channels)?
  - What language(s) do they speak?
  - Where and how can you communicate with them—in other words, what is the best way to “get in front of them” with our message?
  - What cultural considerations should we be aware of?

The answers to these questions become your action plan. The next steps involve developing effective materials, disseminating the message, evaluating your efforts, adjusting as needed, and sustaining the effort.

Design “SMART” communication activities—Specific, Measurable, Achievable, Realistic and Time-Bound. Do not forget to include budget considerations, sufficient staff to be effective, best practices, and regulations in your plan.

### 3.5.2 Branding

Branding is the process of using images and words, such as logos and slogans, to identify a product or service. The goal of branding is to establish a recognizable identity, which helps you gain the trust of your beneficiaries and helps them associate certain ideas and values with your brand. Developing a brand identity for your organization and your programs is the foundation of NGO marketing.

Traditionally, we think of brands and branding as something exclusive to the realm of commercial producers. But, increasingly, NGOs are realizing that adapting branding techniques to their programs can have enormous benefits, such as:

- **Making a Brand Promise**—Logos and slogans can help tell beneficiaries what they can expect from your program’s services, such as quality, confidentiality and compassionate care.
- **Establishing a Brand Identity**—Through consistent branding, beneficiaries who become familiar with and develop trust in one aspect of your program can easily identify your other service outlets and will seek out your services in the future. You can take this a step further by branding a network of services
- **Building Brand Value**—As recognition of your brand grows and you gain the trust of local leaders, donors, and beneficiaries, you increase the value of your brand. A valued brand leads to improved program sustainability and helps meet the donor’s own branding objectives. For example, if you hand over a project with a strong brand value to a local implementer, it can build on your outreach to beneficiaries and donors, giving them a head start on renewing funding.

You can apply branding principles to your organization’s name as well as to individual programs, much like a manufacturer does with separate brands for different product lines. Since most organizations have already developed brands for their organizational identity, the following section focuses primarily on program-level branding.

#### 3.5.2.1 *How Do I Develop a Brand for My Program?*

The first step is to ask yourself the following questions:

1. Who are the primary beneficiaries of our program? What language, cultural, and other concerns might they have in relation to seeking our services?
2. What is the primary objective of our program?
3. How do we want beneficiaries to feel about our program? What values and ideas do we want them to associate with our services?

### 1. *Who are your beneficiaries?*

When listing your beneficiary groups, note any special cultural, language, or literacy considerations. Larger programs implementing in multiple areas should list all of the different subgroups they may be targeting, such as women; children; high-risk groups; groups in different areas; or groups with different religious, education, or socioeconomic backgrounds.

Note any special concerns your beneficiaries might have about seeking your services, such as maintaining confidentiality or avoiding stigma and discrimination. For example, a potential beneficiary might not want to walk openly into an office that has a sign that reads, “HIV/AIDS Services for High-Risk Individuals.”

### 2. *What are your program objectives?*

Next, summarize your program’s mission in one sentence by trying to capture its primary objective.

For example:

The \_\_\_\_ project seeks to improve the lives of women in the XYZ region by providing them with comprehensive, compassionate, quality HIV/AIDS services.

### 3. *How do you want your beneficiaries to view your program?*

Finally, look at your program from the point of view of your beneficiaries. What do you want them to feel about your program? Examples may be “safe, trustworthy, confidential, helpful, makes me feel better,” etc.

## 3.5.2.2 **What Are the Elements of My Program’s Brand?**

Your answers to the questions above form the foundation of building your brand. The next step is for you to consider the key elements of your brand’s image and synthesize the program objective and the feelings you want your beneficiaries to have about your program, all the while keeping in mind the language, culture, and other important considerations of your beneficiaries.

### **Program Name**

Naming your program is the first step in developing your brand. It can be a simple name or an acronym. It may be in English or the native language where you are implementing. Some program naming tips:

- Avoid excessively long names. Your program name should be something people can remember easily.
- Do an Internet search of your proposed name to see whether another organization already uses it. If you do find an organization with the same name, consider changing yours.
- Do not include “foundation” in your name unless you plan to distribute funds to other organizations. The term “foundation” implies the availability of funds, so donors may not believe you need funds.

## Program Logo

Creating a logo for your program is often the most intimidating aspect of branding, especially for those who are not artists or do not consider themselves particularly creative. Your logo may derive from your program name or popular local images that you may be able to adapt. Is there a particular local flower, tree, or animal that symbolizes what you are trying to represent?

Have fun. If you cannot come up with anything, consider a simple logo using the name of your program in a nice font. If a logo idea comes to you later, you can always add it.

## Taglines, Additional Images, Etc.

You may want to express more than just a program name and logo, especially for new programs that people may not know much about. Consider putting an additional phrase, slogan, or images alongside your logo. For example, an OVC program offering health, education, and psychosocial support services may want to put a short phrase next to its program name such as, “Healthy, Smart, and Happy Children.”

Also consider the branding requirements of your donor, which often wants to have its logo displayed alongside your program name.

Be careful not to add too many words and images. Your brand should be as clear and concise as possible.

Figure 14—Sample Brand Identity



## Next Steps . . .

Test your brand, especially if you are using a language and culture different from your native tongue. Share your logo and program name with native speakers and ask for their feedback. You never know what cultural symbols may be taboo or what language nuances may lead to misinterpretation. Once you develop the basic branding for your program, you will want to integrate your brand into your public communication and apply the logo to your program deliverables.

### Find It Online

USAID Graphic Standards Manual  
<http://www.usaid.gov/branding/gsm.html>

### 3.5.3 Marking and Donor Requirements

While developing your brand, do not forget to take into consideration the branding requirements and objectives of your donors and partner organizations. Applying logos to program deliverables, called “marking,” identifies your program and acknowledges who funds, supports, and implements it. Proper marking strengthens relationships between implementing partners and credits donors for making the program possible.

Not only is marking a good idea, but donors often require it, and it may be included in your funding agreements. Both USAID agreements and HHS regulations include specific marking requirements. In addition, PEPFAR country teams often request all partners operating in-country to incorporate PEPFAR logos into their daily work (see [section 3.5.3.6](#) on [Marking Requirements under PEPFAR](#)).

#### 3.5.3.1 Creating a Marking Plan

The best way to ensure you are meeting all your donor’s requirements is to create a marking plan outlining exactly when, where, and how you will mark program deliverables, sites and events.

USAID requires that you submit a marking plan to your AOTR that describes how you will implement the marking requirements in your program. The AOTR and AO must review and approve your plan before you begin implementing it.

Although HHS does not require a marking plan of its partners, it is a good practice to develop a similar document, so your staff and subrecipients are aware of your marking policies.

A good marking plan describes the following:

- What you will mark—all sites, documents, events, and commodities you procure or produce as a part of the Cooperative Agreement.
- How you will mark—the type of marking and what you will mark (for example, banners at events, stickers on equipment, etc.).
- When you will mark—in the event that you might not mark an item permanently right away (for example, a project site that is being constructed), describe any temporary marking and plans for final marking.
- Where you will mark—describe the size and placement of the donor’s logo and any accompanying logos.

#### 3.5.3.2 Marking Program Deliverables

You should mark program deliverables to identify and give credit to both donors and implementers. However, you will not mark all deliverables the same way. High-profile deliverables, such as a clinic, may be marked with the logos of all implementing partners and donors. Conversely, you may only need to mark smaller commodities procured for the program, such as computers or office equipment, with the logo of the donor that funded it. Your marking plan should specify the approach for different deliverables and, at a minimum, should cover all donor requirements.

The following are examples of program deliverables that should be marked with your donor's logo:

- project sites;
- electronic and printed documents, such as informational and promotional materials, audiovisual presentations, public service announcements, Web sites, etc.;
- events, such as training courses, workshops, press conferences; and
- commodities, including equipment, supplies, and other materials.

## Marking Exceptions

There are situations when applying logos does not make sense. You may not want to apply logos when their use would:

- Impair the functionality of an item
- Incur substantial costs or be impractical
- Offend local cultural and social norms or be considered inappropriate or
- Cause increased security risk for volunteers, staff, or beneficiaries.

Include any anticipated exceptions in your marking plan. If an unforeseen circumstance arises, you must request a waiver from your AO (via your AOTR).

### 3.5.3.3 Subrecipient Requirements

Marking requirements also apply to subrecipients. It is a good practice (and in many cases it is required) to include language in your subawards requiring that the donor's logo (and perhaps your logo as well) be included on program deliverables.

### 3.5.3.4 Special Requirements for USAID Partners

The AO may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved marking plan. Contact your AOTR before printing to ask whether USAID would like to review the final document.

Any public communication funded by USAID, where the content has not been approved by USAID, must contain the following disclaimer:

*This study/report/audio/visual/other information/media product [specify] is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert your organization's name] and do not necessarily reflect the views of USAID or the United States Government.*

You also must give your AOTR copies of all program and communication materials produced under the award.

### 3.5.3.5 Special Requirements for HHS Partners

HHS awardees (under CDC and HRSA) are required to acknowledge USG funding when issuing any of the following:

- statements or press releases;
- requests for proposals or bid invitations; or
- any other documents describing projects or programs funded in whole or in part with USG funds.

In addition, HHS recipients are required to state:

- percentage and dollar amounts of the total program costs financed with USG funds, and
- percentage and dollar amount of the total costs financed by non-governmental sources.

HHS encourages organizations to publish results and accomplishments of HHS-supported activities, and, under grants and Cooperative Agreements, prior approval is not required.

However, you must include the following:

*This publication was made possible by [or supported by] Grant Number \_\_\_\_\_ from [HRSA/CDC].*

You also must include the following disclaimer:

*Its contents are solely the responsibility of the authors and do not necessarily represent the official views of [HRSA/CDC].*

If you plan to issue a press release concerning the outcome of HHS-supported activities, please notify your funding agency in advance to allow for coordination. Also provide a copy of each publication resulting from your HHS-supported work, with your annual or final progress report.

Figure 15—Sample Implementation of Branding and Marking



Web page for [www.ngoconnect.net](http://www.ngoconnect.net)

**Banner:**

**A.** Tagline for product—  
“Sharing Resources and Knowledge  
Among the Global NGO Community”

**B.** Product name and logo—  
NGOConnect.Net

**C.** Program brand and logo—  
Capable Partners Program

**Footer:**

**D.** Donor disclaimer

**E.** Prime and sub logos/brands—  
AED, MSI

**F.** Donor brand/logo—USAID

### 3.5.3.6 *Marking Requirements under PEPFAR*

Neither USAID nor HHS requires you to include the PEPFAR logo in marking your project deliverables. However, you may choose, or the in-country team or your AOTR may ask you, to include the PEPFAR logo. By including the PEPFAR logo, you help support the in-country program and link your program to the trusted brand of the in-country PEPFAR network. If you receive this request, it is a good idea to revise your marking plan and estimate any additional costs of incorporating the logo into your program. For the most part, this cost may be minimal, but if it is more expensive, be sure to discuss that with your AOTR as soon as possible.

### 3.5.4 *Demonstrating the Effect of Your Program*

While developing your marketing and communications strategies, be sure you retain the focus of your organization—to have a positive impact on the lives of beneficiaries in the communities you serve. This is your story, and this is the story that donors want to support.

Demonstrating a positive effect is very powerful when done objectively by using statistics from your project’s M&E system. For example, rather than saying, “Our programs enable more girls to attend school,” you should use the data comparing your baseline assessment and your most recent project data to show how many girls graduated from high school because of your intervention.

This goes beyond just measuring the number of people reached. There are numerous ways to highlight the qualitative results of your program. For example, beyond looking at the percentage of girls attending school, you can explore the impact schooling has had on the girls, lives as a whole. Are the girls healthier? Do they make better decisions in social situations? Has access to education increased their self-esteem? By developing posters, brochures, or a Web site, and using select photos, statistics, and stories from the community, you can communicate your impact and show how your program positively affects community members.

Ultimately, a marketing strategy that focuses on beneficiaries helps drive your communication activities.

### 3.5.4.1 *Telling Your Story*

Telling your story should be an important part of your organization’s communication and marketing plan. Why? Because stories and photographs are a powerful way to educate donors, prospective partners, and the public about your programs and demonstrate their positive impact on your community. In the process, telling your story lets you give credit to donors and reach a wider audience of potential supporters. Consider developing and disseminating at least one or two success stories about each program you implement.

#### Find it online

For inspiration, sample the ways other NGOs have shared their success stories at these Web sites:

- ▶ NPI-Connect.Net  
<http://www.npi-connect.net/success>
- ▶ One Shared World  
<http://onesharedworld.org/success/index.html>
- ▶ PEPFAR Stories of Hope  
<http://www.pepfar.gov/press/c19597.htm>
- ▶ USAID Telling Our Story  
<http://www.usaid.gov/stories/about.html>

There are many different types of success stories. The most common highlight the impact of a program by communicating how it has made a difference in people's lives. However, success stories may also highlight a specific event, or discuss an innovative tool or approach a program has implemented. Success stories may expand on information provided in your performance reports, repackaged for a wider audience.

The key to a good success story is the ability to turn data that provide evidence of your program's results into an engaging personal story that everyday readers will care about and understand. For example, in Zambia, NPI grantee the Luapula Foundation is reviving traditional farming methods and teaching new ones to boost food security and economic independence for hundreds of households caring for orphans and vulnerable children (OVC) affected by HIV and AIDS. The story puts a human face on the numerical evidence of the program's impact (<http://www.npi-connect.net/luapulasuccess>).

### Finding a Good Story

A success story summarizes the work you do by telling a specific story of how that effort has improved the lives of the beneficiaries you serve. These stories often surface throughout implementation, and it is a good practice to jot them down as they arise and keep a file you can come back to later to write up the story.

Some ideas for developing a good story include:

- Ask your staff and subrecipients to suggest beneficiaries of your program whom you might include in a success story.
- Document an innovative approach your program uses that allowed you to reach new people, or address a need that was previously unmet.
- Discuss an event that allowed you to reach out to new people.
- Build on pieces of good news about your program that are passed around your office and that energized staff.
- Elaborate on a story you often tell colleagues or donors that grabs their attention.

### Writing the Story

While there is no precise formula for writing a success story, the following are some common strategies and tools you may want to consider to make your story interesting:

- *Use quotations and photos:* Using the words and pictures of the people in your story can make it much more personal and engaging to the reader. Note, however, that while people are usually very happy to tell their stories, it is important to respect the privacy of the individuals in your story. Tell them exactly how you intend to use the story and request their written permission by having them sign a release form authorizing you to use their names and photos. This makes sure they know how you intend to use the story, such as posting it on the Internet or sharing it with media, donors or others (see [3.5.5](#)).
- *Talk about the before, after and future:* A great way to demonstrate impact is to explain the problem your program hoped to address by giving a glimpse of what life was like before your program came along. Your story then shows how you addressed that challenge, by describing what happened after your program was in place. You may also want to talk about the future—plans to expand or sustain your program.
- *Don't forget the data:* Though these stories often focus on an individual or group of people for the "human face" of the work, don't leave out the bigger picture that your data show. Consider using a graph or a chart to make your data more engaging for the reader.

- *Give credit:* Be sure to give credit to those who have supported your program. Identify key staff, partners, and donors. This can be done in the narrative, or by putting the logos of donors and other organizations involved on a printed or electronic presentation of the story.
- *Provide contact information:* Success stories are often short—one or two pages (200 to 500 words) at the most. Therefore, there is probably a lot of information you don't have space to include in your story. Providing contact information allows others who are interested in your story to follow up with you for more details.

## Coordinating with Donors

As you begin to develop your success story, contact your donors. They may want to help you promote the story by posting it on their Web site or including it in presentations or publications. Some donors want to review the document before it is distributed, and they may have other requirements for publicly documenting the programs they fund. This process gives donors a chance to be involved in the story. After all, just as you are proud of your program's success, they, too, are happy to be supporting your good work.

## Promoting Your Story

Once the story is written, share it with a number of different audiences to communicate your successes as widely as possible. Start by sharing the story with your donors, then share it with your partners, your beneficiaries, and the general public.

Consider the following strategies for sharing your story:

- Post the story on a Web site—yours, your partner's, and donor's.
- Create a news release and share the story with local media.
- Print copies and post it at program implementation sites (if appropriate).
- Provide copies to local government officials and your AOTR.
- Submit your story to NGO conferences and forums, where you might be asked to share more details about your program with other implementers.
- Share the story with your partners and staff. This is a great way of soliciting more stories from your team.

### 3.5.5 Communication and Ethics

Often, people are happy to let you photograph or videotape them and are eager to tell you their story so you can share it with others. However, there are significant ethical considerations, and it is important for you to respect the rights and privacy of all subjects you wish to photograph or videotape, especially patients in clinical settings and children.

The USAID-funded INFO project has posted a list of ethical issues (<http://www.photoshare.org/phototips/developethics.php>) for you to consider, and even has sample templates for requesting permission to use a photo. You may want to consider these and other ethical practices when developing standards of conduct for your employees. These considerations are not intended to prevent people from taking photos, but rather to help increase respect for individuals' rights to privacy.

## 3.6 Summary and References

This chapter has reviewed the tasks you need to accomplish during the start-up phase, and has discussed the minimum USG requirements for key management systems, such as your accounting and M&E systems. This chapter has also outlined the program planning process, including the development of your initial workplan.

The USG wants to make sure the HIV/AIDS programs it supports have the systems, policies, personnel, and plans in place prior to implementation that will lead to high-quality, effective services for the beneficiaries you hope to serve. Taking your time with these start-up activities will only improve your ability to deliver the best possible program to your community. The foundation you build during the start-up phase will help you as you enter the next phase of your program: implementation. The next chapter discusses the keys to running an effective and compliant program.

### References:

#### Marketing and Communication

- Resource: Photoshare  
<http://www.photoshare.org>
- Development Photography Ethics  
<http://www.photoshare.org/phototips/developethics.php>

#### Monitoring & Evaluation

- Performance Monitoring and Evaluation USAID online course  
The course includes modules ranging from the M&E framework to conducting evaluations, developing scopes of work, assuring data quality, and review and dissemination of evaluation results.  
<http://communities.usaidallnet.gov/fa/node/1901>

#### M&E Fundamentals

This mini-course covers the basics of program monitoring and evaluation in the context of population, health, and nutrition programs. It also defines common terms and discusses why M&E is essential for program management.  
[http://www.cpc.unc.edu/measure/training/mentor/me\\_fundamentals](http://www.cpc.unc.edu/measure/training/mentor/me_fundamentals)