



**Rotary District 5100**

**2023-2024**

# **GRANT HANDBOOK**

**July 2023**

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### **Acronyms**

DDF	District Designated Funds	RI	Rotary International
D5100	District 5100	TRF	The Rotary Foundation
GG	Global Grant		
MOU	Memorandum of Understanding		

## **1. ROTARY FOUNDATION GRANT BASICS**

The Rotary Foundation (TRF) offers two types of grants for humanitarian and educational projects: District Grants and Global Grants. Both types operate under the guidance of four documents: The Rotary Foundation Grant Terms and Conditions, Club Memorandum of Understanding, District Grant Policies, and the Guide to Global Grants.

- **District Grants** are a Block Grant made to Rotary districts in support of smaller projects. The funds can be used for both local and international projects. Clubs access this block of funds through the District Grants Program.
- **Global Grants** support larger international projects with sustainable, measurable, and with high-impact outcomes. These projects are required to address one or more of the seven Areas of Focus (Refer to the table below). Both Clubs and Districts may design and implement global grant projects that are funded by a combination of funds from the sponsoring club(s), District Designated Funds (DDF), and a grant awarded by TRF from the World Fund.

These grants may include scholarships and vocational training teams. District Grants and Global Grants both require active involvement by Rotary Members.

### **DISTRICT GRANTS**

Who May Apply	Clubs that meet the annual qualification requirements list in Section 2.
When to Apply	Round 1 – Jul 01 to Oct 31 of each year Round 2 – Nov 01 to Jun 30 (if funds are available)
Types of Projects	Humanitarian projects, vocational training, and scholarships. TRF Area of Focus are encouraged but not required.
Project Location	Local or international
Project Size Limits	\$500 minimum No set maximum, but usually less than \$10,000.
Grant Size Limits	\$250 minimum. \$2500 maximum for Round 1 \$2000 maximum for Round 2
Who Approves the Grant	District Grants Committee
Project Start and Duration	Starts upon approval. Duration usually one year or less.
Grant Payment Process	D5100 payment to club after approval.

**GLOBAL GRANTS**

Who May Apply	Clubs that meet the annual QUALIFICATION requirements listed in Section 2. Rotary districts may also apply.
When to Apply	Any time
Types of Projects	Humanitarian projects, vocational training, and scholarships that fit one or more of the TRF Areas of Focus.
Project Location	International (non-US) with D5100 as co-sponsor. Or in D5100 with an international club co-sponsor.
Project Size Limits	\$30,000 minimum.
Grant Size Limits	No minimum. \$400,000 maximum.
Who Approves the Grant	D5100 Global Grants Chair and DRFC initially. Final approval by TRF
Project Start & Duration	After TRF approval. Usually 1-2 years (or more)
Grant Payment Process	TRF disburses funds after project approval – sometimes in more than one “tranche” or installment.

**2. CLUB QUALIFICATION**

To qualify for both types of grants a club must meet all five of these requirements each Rotary year:

**1. Training -**

- **For a District Grant or to obtain DDF**, one or more active club members must complete the D5100 District Grant Training seminar (D5100 DGS) in person or online. The D5100 DGS is available at Rotary Spring Training (RST) or at a specially arranged training. The training materials and Grant Handbook are available on the Rotary District 5100 website.
- **For a Global Grant or to obtain DDF**, one or more active club members must complete either (1) the D5100 Grant Management Seminar (D5100 GMS) or (2) the RI Grant Management series in the Learning Center (10 modules, self-paced). The D5100 GMS is available online and is also usually given at Rotary Spring Training (RST) or at a specially arranged training. If a club is the lead International Sponsor of a GG, the Primary Contact must

complete the RI Grant Management series before D5100 will approve DDF. In addition, the "Rotary GG Early Concept Form" (6Q) must be completed and coaching advice substantially followed before D5100 will reserve DDF for the project or approve a GG.

- Both District Grant and Global Grant trainings are renewed and must be taken by one or more members every year. For global grants, RI offers a simpler update and recertification.
2. **Memorandum of Understanding (MOU)** – Review, sign and submit to the District Office a District 5100 Memorandum of Understanding as follows:
    - a) For District Grants -- signed by the Club President
    - b) For Global Grants -- signed by both Club President and Club President Elect.
    - c) MOUs are renewed annually.
  3. **Stewardship** – Clubs must be current on:
    - a) Rotary International and District 5100 dues and payments.
    - b) Tax returns for the club and any associated club foundation.
    - c) All Rotary grant reporting requirements.
  4. **Giving** – Clubs must have established and submitted an Annual Fund Giving Goal for the current year.
  5. **Coaching** - Global Grants require collaboration with a District 5100 Global Grants Coach, throughout the life of a GG project, for the club to be eligible for District DDF.

### **3. DISTRICT DESIGNATED FUNDS (DDF)**

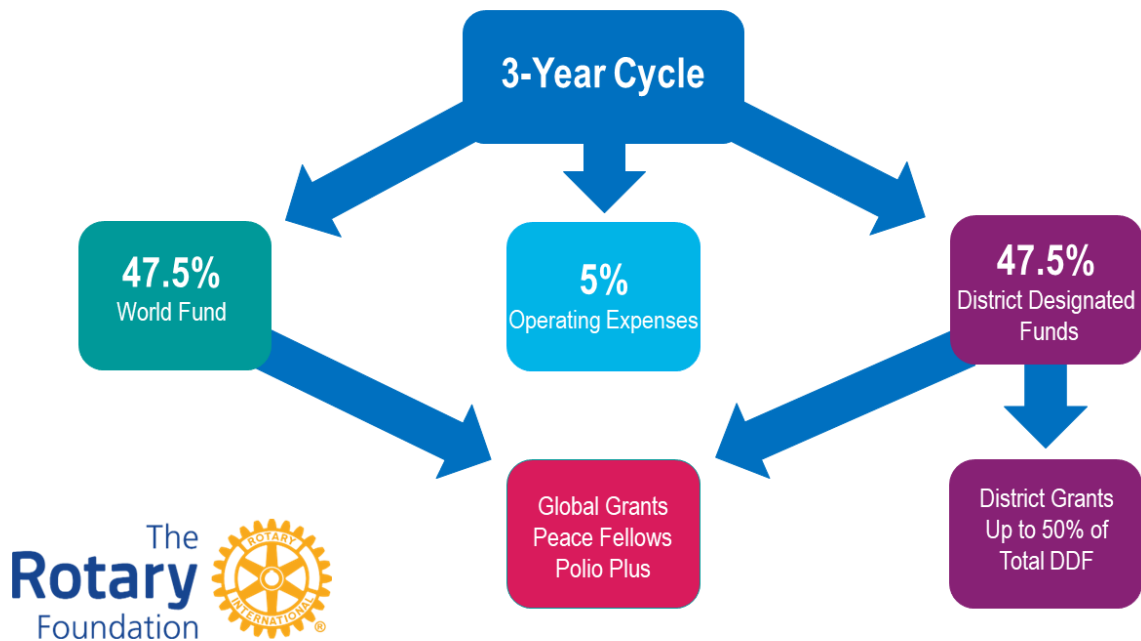
The Rotary Foundation (TRF) has a unique funding cycle that uses contributions to the Annual Programs Fund three years after they're received. The three-year cycle allows the Foundation to invest the contributions and receive earnings from those investments to pay for Foundation program operations, fund development costs and some administrative costs. On the third year, those original contributions are shared between the districts they came from and the World Fund (known as the SHARE program) and become the primary funding source for Rotary Foundation grant programs.

The funding District 5100 has available from the Rotary Foundation is known as **District Designated Funds** or DDF. A 5% fee from both World Fund and SHARE donations will go to support TRF administration costs, and DDF must not be carried over more than 5 Rotary years.

Prior to each Rotary Year, the members of the D5100 Rotary Foundation Committee, as named by the District Governor and its Chair, are charged with deciding how the district will use its District Designated Funds (DDF).

District 5100 may receive up to 50% of its yearly DDF in the form of a District Block Grant. The balance of the yearly DDF is available to use for Global Grants. District 5100 submits a Spending Plan for the Block Grant in September for distribution of DDF for District Grants and upon approval the Rotary Foundation will distribute the Block Grant in a single check to District 5100. Please note the spending plan as permitted by TRF is a living document which will likely change with allocations.

The District Block Grant fund’s primary purpose is the funding of Club submitted District Grants but also may be set aside for district sponsored programs. Those District Grants are paid by TRF in a block to the District and the District Grants Chair along with the Chief Grants Officer will handle all administration including the issuance of payment, along with managing the established application process, interim reporting and stewardship related to these grants. The District Rotary Foundation Committee Chair is responsible for maintaining accurate records to plan for and track district’s Block Grant funds.



#### **4. DDF GOALS AND POLICIES --- D5100**

In the past, together our Clubs requested and used more DDF on District Grants (DGs) than Global Grants (GGs), so we used the maximum allowable DDF on District Grants. This is not always the case. Due to our successful GG coaching program, increases in international service and sizes of projects, the demand for Global Grant matching DDF is steadily increasing and is expected to consistently exceed the available annual funding.

##### **Goals for Use of DDF**

To address the requests by clubs for GGs, and assure high quality projects, D5100 sets these goals:

1. To encourage clubs and Rotary to donate more to the SHARE program of TRF, so more DDF will be available in future years for both DG and GG projects
2. To balance the DDF allocated to DGs and GGs, so clubs have a better chance of getting their projects, whichever they choose; and consider adjusting the ratio each year based on experience and trends, but no more than 50% is allowed to go to District Grants.
3. To coach and assist clubs to meet the trends in Rotary toward projects and programs of higher quality, more impact, larger size, better measurement, and more sustainability
4. Enhancing the experience of International Service (IS) for more of our clubs and Rotary Members, beyond contributing funds: to support and favor GG projects which include meaningful ways for Rotary Members to actively participate (see Appendix A of D5100 Grant Handbook)
5. To encourage and assist clubs and Rotary Members to find other sources of funds to supplement Rotary funding for GG projects: we will favor DDF for GG projects which provide more leverage for Rotary funds; and
6. Seeking to break down the silos, around clubs in our district and which separate D5100 from other districts: we will locate and partner with other Districts which (a) have experience to share, good projects, and are willing to be true partners in IS, and b) are willing to share DDF with us, and vice-versa, determined from year to year, and favor funding these projects.

### **Policies for Use of DDF**

For the 2021-22 Rotary Year and beyond, it will be the policy of D5100 that:

1. Allocation: DDF will be allocated 50% to DGs and 50% to GGs, and any DDF not used after a 2nd round of DGs will be moved to GGs.
2. Involvement: all GG projects where D5100 or one of its clubs is the International Sponsor must have roles that actively involve at least five Rotary Members from at least three Rotary clubs. At least two of the actively involved clubs and three of the active Rotary Members must be part of D5100. A written MOU signed by all actively involved clubs and counter-signed by all actively involved Rotary Members; they will describe the responsibilities of the clubs and the roles of the Rotary Members, plus commit to send reports to D5100 and all participating clubs at least once each quarter explaining their activities. The signed MOU must be provided before D5100 will authorize the GG application. Projects will be favored if they involve clubs which have not been involved, or less involved, in IS projects in the last 3 years.
3. Joint Funding: all GG projects where D5100 or one of its clubs is the International Sponsor must have multiple D5100 clubs contributing at least \$1000, on this sliding scale:
  - at least 5, for project values under \$45,000
  - at least 7, for project values of \$45,000 but less than \$75,000
  - at least 9, for project values of \$75,000 but less than \$150,000, and
  - at least 11, for project values of \$150,000 and above.

D. Quality: for any GG, the "Rotary GG Early Concept Form" (6Q), GG application and supporting documents, should demonstrate that the project meets Rotary's goals of higher quality, more impact, better measurement, providing opportunities for scaling, and more sustainable projects or longer-term programs. The Global Grants Chair will review and determine the project meets this test, then favor providing funds, or provide a higher match, for those DG and GG requests which demonstrate this, and a lower or possibly no match for those that do not.

E. Matching: D5100 will generally seek to match club cash 1:1 for all D5100 clubs who's average TRF donation exceeds \$100 per capita on average for the 2 prior Rotary years, and 0.5:1 if it does not. However, clubs that had a GG approved in a Rotary year might not receive funding for a second in the same year.

F. Leverage: D5100 will favor funding projects led by a D5100 club which does one or more of these:

- brings in other non-Rotary funding to enhance Rotary funding, or brings club funds and DDF from other districts, either of which is a significant proportion of total project funding (for example, more than 40%)
- consistently promotes other clubs and Rotary Members to donate strongly to TRF,
- regularly mentors Rotary Members in other clubs how to become involved in IS and GG projects.

## **5. DISTRICT GRANT GUIDELINES --- D5100**

The purpose of District Grants is to encourage Rotary clubs and Rotary Members in District 5100 to carry out local and international humanitarian service projects and educational initiatives. These guidelines are set forth to ensure stewardship and accountability for Rotary Foundation funds entrusted to District 5100 Rotary Members and to establish financial guidelines for oversight of Rotary Foundation funds.

D5100 adds a few policy requirements and guidelines. However, where a District 5100 policy or guideline conflicts with the policies, bylaws, or rules of The Rotary Foundation or of Rotary International, the latter apply.

1. All qualified clubs must submit an online District Grant Application for each project proposed for the Rotary year through the District Database (DACdb) for Round 1 from July 1 thru November 1<sup>st</sup>.
2. Unless otherwise decided by the District Governor, the maximum DDF a club may apply for is \$2500 in Round 1 and \$2000 in subsequent Rounds. Completed grants applications will be reviewed and approved, if appropriate, in order of their submission.
3. The District Grant Committee will review each as received and notify clubs once the application is approved and the club is in good standing. Clubs may start their



projects after receiving written approval. District Grant funds will be dispersed after the Block Grant has been received by District 5100.

4. If an approved application is withdrawn, the District Grant funds earmarked for the project will return to the District Grant pool.
5. If there are more applications than funds available, the District Grant Committee will evaluate the applications and use their judgment to prefer projects of qualified clubs using a combination of factors like these:
  - a) Projects having a greater impact in the community.
  - b) There is greater Rotary Members involvement in the project.
  - c) Club per capita support of the Rotary Foundation Annual Programs Fund is greater over the prior two years.
6. Proposed projects must follow the [Rotary Terms and Conditions for Rotary Foundation District and Global Grants](#) and :
  - a) Promote Rotary awareness.
  - b) Have active, direct Rotary Members involvement to engage Rotary Members in the service aspect of Rotary. See Appendix A.
  - c) Benefit at least six individuals except in the case of District scholarships.
  - d) Be short term in nature and completed within 12 months of funding.
  - e) May be for activities primarily implemented by an organization other than Rotary, but must have Rotary Member involvement other than just raising funds for the project Refer to Appendix A.
  - f) May be carried out in any country including non-Rotary countries, except for Cuba, Iran, North Korea, and any countries added by The Rotary Foundation (TRF staff can tell you if your target is a prohibited country).
7. Funding of District Grants:
  - a) District 5100 clubs will be held accountable for the fund management and stewardship guidelines as specified by the District Grant Club Memorandum of Understanding (MOUDG) and are responsible for providing the required reports within the timeframes specified. Funds will be disbursed when the application has been approved and the Block Grant funds have been received from the Rotary Foundation.

- b) District Designated Fund Match: During the current Rotary year, qualified District 5100 Rotary clubs will be eligible for a match of \$0.50 DDF for every \$1.00 of club funds used for projects up to \$2500 total in DDF (Round 1). Rotary clubs that have averaged \$100 per capita or more contribution to the Rotary Foundation Annual Programs Fund during the prior two full Rotary years will be eligible for a match of \$1.00 DDF

<i>Per Capita Annual Fund Giving</i>	<i>Club Funds</i>	<i>Max District Match</i>
<b>Under \$100</b>	<b>\$5,000</b>	<b>\$2,500</b>
<b>\$100 and Up</b>	<b>\$2,500</b>	<b>\$2,500</b>

for every \$1.00 of club funds used for projects up to \$2500 total in DDF. See examples of the maximum District match on a DG project:

- c) Final Report: Projects must be completed, and the final report submitted, within 30 days of the completion date specified in the application. The completion date may be extended, upon request, up to a maximum of 12 months after the grant approval date. No further grant applications will be accepted if there are past due final reports. If a club fails to submit a final report in a timely manner, or violates any D5100, RI or TRF rule or policy, the club may be required to return to District 5100 the entire amount of DDF granted for the project.
  - d) Refunds: Refunds to the District are required only if the under-expenditure results in a club expense that is less than the District match requirement, if the activity of the grant is clearly incomplete, or if the grant is modified in such a way as to not comply with RI requirements.
8. District Grants cannot fund:
- a) Continuous or excessive support of any one beneficiary, entity, or community.
  - b) Fundraising activities.
  - c) Expenses related to Rotary events such as a district conference, institute, or entertainment.
  - d) Public relations initiatives.
  - e) Gift cards.
  - f) Project signage more than \$1000.
  - g) Operating, administrative, or indirect program expenses of another organization.
  - h) Unrestricted cash donations to a beneficiary or cooperating organization.
  - i) Activities for which the expense has already been incurred.
  - j) Activities that directly benefit a Rotary Members, an employee or a club, a district, or other entity of Rotary International.
9. The District Grant Committee consists of the District Grant Chair, the Chief Grant Officer, the District Rotary Foundation Committee Chair (DRFCC), and two to five Rotary Members appointed by the DRFCC and District Governor.
10. The District Rotary Foundation Committee reserves the authority to make exceptions to these policies.

## **6. BUSINESS AND FUNDING CYCLE**

### **Plan Projects and Apply for District Grants**

1. Submit a District Grant Application utilizing the online application available in DACdb (after login: District, District Grants) for each project or program your club wishes to apply for DDF from a District Grant. Applications are accepted starting July 1 of each Rotary year, and the maximum is usually \$2,500 per club. Consult the [District Grants | Rotary District 5100 \(isrotaryforyou.com\)](http://isrotaryforyou.com) for additional information on how to apply.
2. Only electronic submissions through DACdb will be reviewed.

3. The minimum grant award is \$250. Clubs will be limited to a maximum DDF grant award of \$2,500 (Round 1). On November 1 if there is residual District Grant DDF available, clubs will be eligible to apply for a second round of grants up to a maximum of \$2,000. The residual DDF will be awarded to clubs submitting a completed and then approved District Grant application on a first-come, first-served basis.

## **7. GLOBAL GRANT GUIDELINES – TRF**

Rotary Global Grants support the efforts of club members to contribute skills, expertise, and financial support to promote peace, fight disease, provide clean water, save mothers and children, support education, grow local economies in communities worldwide and support the environment. Building sustainable projects that have measurable and lasting outcomes and managing grant funds responsibility are all requirements of all Rotary Global Grants.

The guidelines in this section apply to global grants in all Rotary districts worldwide.

### **Eligible Activities**

Global grants support international activities within Rotary’s **seven areas of focus** listed below. Projects may fit one or more of the following three categories.

- **Humanitarian projects** provide sustainable, measurable outcomes that address real community needs.
- **Vocational training** builds skills within a community through targeted educational programs or by supporting teams of professionals who travel abroad to build their own capacity or the capacity of the community they visit. Learn more about vocational training teams.
- **Scholarships** fund international graduate-level study by people seeking a career within an area of focus.

### **The Seven Areas of Focus are:**

PCR	Peace and Conflict Prevention / Resolution	Promoting peace
DPT	Disease Prevention and Treatment	Fighting disease
WSH	Water Sanitation and Hygiene	Providing clean water, sanitation, and hygiene
MCH	Maternal and Child Health	Saving mothers and children
BEL	Basic Education and Literacy	Supporting education
CED	Community Economic Development	Growing local economies

ENV	Protecting the Environment	Strengthen conservation of natural resources
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**Rotary Foundation Requirements**

1. **Community Assessment** - Clubs or district applying for a Global Grant to support a humanitarian project or a vocational training team are required to conduct a Community Assessment using the [Community Assessment Tools](#) at an early stage and include the completed [Community Assessment Results Form](#) with their grant application. The community benefiting from the project should be actively involved in the identification of the need and the planning, implementation, evaluation, and sustainability of the project both during the life of the project and after Rotary Members involvement ends. TRF does not fund these assessments, but club funds and District grants can fund them.
  
2. **Partner with club in another country** - Global Grants are international in nature and require a qualified host Rotary club in-country that will do most, or all, of the implementation of the project. As Global grants require more lead time for planning; assessment; obtaining bids; writing agreements; developing measures; and completing the application process, the Host Club should be already connected to the benefiting community and close enough to visit and support the club. TRF expects both host and international partner clubs to join hands in these projects, using their best thinking and methods; both clubs are jointly responsible for the project and stewardship. TRF requires “active involvement” by Rotary Members -- review the D5100 guidelines in Appendix A.
  
3. **Annual Qualification** – Clubs must annually qualify their club through attending training, reviewing, and signing MOU, being current on all financial obligations, IRS requirements, and grant reporting.
  
4. **Long Term Sustainable impact** - Global Grants incorporate activities and safeguards that ensure the continuity of project impact after the Rotary Foundation funding is fully expended. All global grant applications must include a plan that assures sustainability.
  - The Rotary Foundation defines sustainability as the capacity for maintaining outcomes over the long term to serve the ongoing need of a community after grant funds have been expended and Rotary is no longer involved.
  - A sustainable project typically involves local community leaders and committees in the community assessment, and in identifying an important need for the community -- so that the broader community is invested in the project’s long-term success and the capacity of the community to meet its own needs, or be supported by a local government agency, is improved.
  
5. **Invest at least \$30,000 within a community**  
 TRF Global Grants (GG) still have two levels of matching: the district level DDF

(District Designated Funds) and TRF level (World Fund). TRF matches DDF on a 0.8:1 basis, and as of now it does not match club or other cash contributions. Starting July 22, 2020, there is no minimum TRF grant award (*before it was \$15,000*). However, the *project value* must be at least \$30,000, whether it is a District GG scholarship, or a club or district humanitarian grant. The maximum TRF grant remains \$400,000. So, project values (the Rotary funded project budget) can range from \$30,000 to over \$1,000,000.

If a TRF match is not available, a GG can still use DDF with cash, directed gifts, or endowment earnings to make up the minimum \$30,000 budget. The same GG eligibility criteria and quality standards still apply.

Here are a variety of examples, different scenarios and levels of matching.

<b>Rotary Matches on Global Grants:</b>		<i>Each row is a different example.</i>			
	Club or Cash	District DDF	TRF Grant	Project Value	
<b>Smallest Allowable:</b>					
Club GG (Humanitarian or VTT)	\$ 10,715	\$ 10,715	8,570	\$ 30,000	<i>Project value must reach \$30K</i>
District GG (Humanit, VTT or Scholarship)	\$ -	\$ 16,667	13,333	\$ 30,000	<i>Scholarship must reach \$30K</i>
<b>Medium Size:</b>					
Club GG	\$ 60,000	\$ 60,000	48,000	\$ 168,000	
District GG	\$ -	\$ 80,000	64,000	\$ 144,000	
<b>Larger Multi-District:</b>					
Club GG (multiple districts)	\$ 120,000	\$ 120,000	96,000	\$ 336,000	<i>D5100 has led a few of these, participated in others</i>
District GG (multiple districts)	\$ -	\$ 200,000	160,000	\$ 360,000	
<b>Maximum Single GG:</b>					
Club GG (multiple districts)	\$ 400,000	\$ 400,000	320,000	\$ 1,120,000	<i>Not all districts match 1:1, some or less, or by project</i>
District GG (multiple districts)	\$ -	\$ 500,000	400,000	\$ 900,000	
<b>Programs of Scale Grant</b>					
(not a GG per se)	\$ -	\$ -	2,000,000	\$ 2,000,000	<i>One award each year, very com</i>

Note: Administrative Charge funds (5%) are not matched by either DDF or Rotary Foundation grant funds. No fee is due if the funds go directly to a designated GG bank account. It is up to you and the other clubs to decide which method you will use, and who will pay the 5% fee.

\*\* Cash contributions need to be given to clubs or their foundations to qualify for the D5100 match. Cooperating organization or beneficiaries cannot have their funds matched.

- Financial Management** – Clubs must develop a financial plan that includes a budget and a financial management plan. This includes establishing a dedicated bank account controlled by one of the lead Rotary clubs, in either the host or international district to receive and hold grant funds. No other monies may be deposited in this account; however, the same bank account may be used for multiple Rotary Foundation funded grants *if each grant is accounted for separately with appropriate accounting software.*

7. **Documenting Club Commitments** – D5100 does not require, but does recommend, that designated lead clubs document firm club commitments and how long they will last, during the project preparation and grant approval process – using this [Rotary Club Commitment form](#).
8. **Measurement** – Grants must incorporate monitoring and evaluation measures within the area of focus section. The Rotary Foundation ([Global Grant Monitoring and Evaluation Plan](#)) utilizes standard measures for each area of focus as well as the standard terminology, definitions, and measurements methods. You can use additional measures. All measures should clearly link to specific goals and demonstrate the project's impact on participants' lives, livelihood, knowledge, or health.
9. As outlined in the [Rotary Terms and Conditions for Rotary Foundation District and Global Grants](#) projects:
  - a. Align with and follow the Guidelines for one or more of Rotary's **Areas of Focus**.
  - b. Are sustainable. Host communities must be able to address their own needs after the Rotary club or district has completed its work.
  - c. Are measurable. Sponsors select standard measures from the [Global Grant Monitoring and Evaluation Plan supplement](#) and may add their own measurements. Expenditures to measure project outcomes may not exceed 10 percent of the project budget.
  - d. Are driven, involve and meet the needs of the community in the host country. The host community is involved in the design and implementation of the grant, which needs to be based on local needs that community has identified. Beginning 1 July 2018, any club or district that applies for a global grant to support a humanitarian project or a vocational training team is required to conduct a community assessment first and include a report of the results in their grant application.
  - e. Are sound and appropriate to the technology and supplies available in the region. Either a qualified expert in D5100, TRF Cadre member or other qualified expert has reviewed the design, implementation, and M&E plan to assure it is appropriate for the community and region. Hydrogeological surveys must be completed as part of the community assessment for projects that will access groundwater.
  - f. May allocate up to 10 percent of the project budget for project management costs, which may include a project manager and project-specific overhead and direct administrative costs of cooperating organizations.
  - g. Support humanitarian and educational projects.
  - h. Provide international scholarships to fund graduate-level coursework or research or its equivalent for a term of one to four academic years.
  - i. Support vocational training teams that address a humanitarian need by providing or receiving professional training.
  - j. Support international travel for up to two individuals as part of a humanitarian project. These individuals provide training or implement the

project, but only if the host club confirms that their skills are not readily available locally.

- k. Support communities in Rotary countries and geographical areas.
- l. Are sponsored by at least one Rotary club or district in the country where the grant project will take place (primary host sponsor) and one or more outside that country (primary international sponsor). An exception to this policy may be made for projects taking place in non-Rotary countries where the RI Board is actively pursuing extension.
- m. May allocate up to 10 percent of the project budget for contingencies to offer protection from price increases and/or currency fluctuations.
- n. May support the construction of infrastructure, including but not limited to toilet blocks and sanitation systems, access roads, dams, bridges, storage units, fences and security systems, water/irrigation systems, and greenhouses.

### **Rotary Foundation Restrictions**

Grants cannot be used to

- unfairly discriminate against any group,
- promote a political or religious viewpoint, or support purely religious functions,
- support activities that involve abortion or that are undertaken solely for sex determination,
- fund the purchase of arms or ammunition, or
- serve as a new contribution to the Rotary Foundation or another Rotary Foundation grant.

In addition, grant funds cannot be used to fund:

1. Continuous or excessive support of any one beneficiary, entity, or community.
2. Establishment of a foundation, permanent trust, or long-term interest-bearing account. Grant funds can be used to establish a microcredit fund if the sponsors comply with the requirements detailed by the Rotary Foundation.
3. Purchase of land or buildings.
4. Purchase of gift cards.
5. Public relations initiatives unless they are essential to project implementation.
6. Project signage more than \$1000.
7. Operating, administrative, or indirect program expenses of another organization except for expenses allowed for direct overhead or project management of global grant projects.
8. Expenses already incurred.

9. Transportation of vaccines by hand over national borders or travel to National Immunization Days (NIDs).
10. Immunizations that consist solely of the polio vaccine.
11. Study at a Rotary Peace Center partner university in the same or similar academic program as those pursued by Rotary Peace Fellows.
12. International travel for youth under the age of 18, unless accompanied by their parents or guardians.
13. New Construction of or additions to any structure in which individuals live, work, or engage in any gainful activity, such as buildings (schools, homes, and hospitals), containers, and mobile homes, or of structures in which individuals carry out manufacturing or processing activities. This does not apply to low-cost shelters or simple schools.
14. Travel of staff of a cooperating organization other than Rotary.
15. Activities primarily implemented by an organization other than Rotary or unrestricted cash donations to beneficiary or cooperating organization.
16. Humanitarian projects that consist primarily of research-oriented projects or data collection.
17. Humanitarian projects that consist solely of individual travel expenses.

## **8. GLOBAL GRANT GUIDELINES --- D 5100**

The guidelines in this section apply to all GG projects sponsored in D5100, and to those seeking DDF contribution from D5100.

1. The District 5100 Global Grants Committee (DGGC) will award DDF on a first-come, first-served basis during the Rotary year. This may be modified by the District Rotary Foundation Committee during a Rotary year as demand and DDF reserves dictate.
2. Priority for Global Grant award will be given to clubs that annually contribute to the Annual Fund of The Rotary Foundation. Qualified District 5100 Rotary clubs will be eligible for a match of \$0.50 DDF for every \$1.00 of club funds used for global grant projects. Rotary clubs that have averaged \$100 per capita or more contribution to the Rotary Foundation Annual Programs Fund during the two-prior full Rotary years, will be eligible for a match of \$1.00 DDF for every \$1.00 of club funds used for global grant projects.

<i>Club Per Capita Annual Fund Giving</i>	<i>Cash Contribution</i>	<i>District Match</i>
<b>Under \$100</b>	<b>\$4,000</b>	<b>\$2,000</b>
<b>\$100 and Up</b>	<b>\$4,000</b>	<b>\$4,000</b>



The \$100 per capita for a 1:1 match will pertain to the lead club, not any partnering clubs. See examples:

3. Clubs pursuing a Global Grant and requesting District DDF will complete the "Rotary GG Early Concept Form" (6Q) and submit it electronically to the Global Grants Chair. The project will be assigned to a District 5100 Global Grant Coach and sometimes it will also have a preliminary review by a TRF Regional Grants Officer (RGO).
4. Once the "Rotary GG Early Concept Form" (6Q) is completed and approved, and coaching advice substantially followed, the Global Grants Chair will submit a recommendation to the District Governor and the District Foundation Chair to tentatively reserve DDF.
5. The Global Grant application must then be submitted with The Rotary Foundation through their online Rotary Foundation Grant Tool webpage and authorized by District 5100 within 90 (ninety) days. The ninety-days is to allow transferring of all grant data to the RI website, collection of all authorizations, and a complete submission of the grant application and all supporting documents. If the application is not fully submitted to RI in the timeframe, the DDF may be returned to the pool. (Note: the time for TRF response after submission additional; it is not counted in the 90 days of reservation.) The firm commitment of DDF by D5100 to a global grant happens when it is approved by TRF.
6. A Rotary Club may request up to \$10,000 of Global Grant DDF for one project during the Rotary year as partner to a Global Grant Project led by an international sponsor Rotary Club outside District 5100; and the maximum DDF for all clubs on such a GG project is \$35,000.
7. Rotary Members should monitor, evaluate, and report on project status from the start of implementation and for a period of up to five years. Monitoring catches problems early, helps assure success, and teaches us how to do better humanitarian work. Sustainable projects offer enduring value and a greater return on Rotary's investment of money and volunteer hours. The cost of monitoring and evaluation can be included in a Global Grant application, up to 10% of the total project expenditures.

## **9. APPLICATION PROCESS FOR GLOBAL GRANTS**

Before commencing a Global Grant application, download and thoroughly review the [Rotary Foundation Guide to Global Grants](#) and the [Rotary Community Assessment Tools](#).

Submit a completed [Global Grants Community Assessment Results](#) along with the District 5100 Early Concept Form (#3 above) to the Global Grants Chair.

Clubs are encouraged to consult at appropriate times with their assigned Coach and the Global Grants Committee from its inception, prior to firming up their project and in preparing a global grant application:

- to clarify the concepts, ideas, and project, to determine if it fits TRF principles and guidelines, including the Areas of Focus and TRF Terms and Conditions
- to be sure that an appropriate amount of DDF is available
- to identify potential problems that might cause a project to be rejected
- to use tools for community assessment, funding, monitoring, and evaluation
- to guide how to partner with the other Rotary club(s), communicate, keep records, compose a MOU
- to review the parties and cooperating organizations involved and review all Memorandums of Understanding
- to obtain competitive bids or good pricing
- to address any conflicts of interest
- to review the measures selected, competitive bids, project plan, budget, and timeline
- to set up accounting, document retention and storage

In D5100 we have experienced Rotary Members, some of whom are members of the TRF Cadre of Technical Advisors; your Global Grants Coach or Grants Chair can connect you to those. Also, TRF Cadre Technical Coordinators are available to support clubs in planning and applying for Global Grant projects. Cadre Technical Coordinators can be accessed in [this list](#) and by writing [cadre@rotary.org](mailto:cadre@rotary.org).

### **STEP 1: Early Concepts and Coaching**

Too often Rotary Members or clubs new to development work and Global Grants do not understand the concepts, pitfalls, steps required, and become frustrated. To assist members, D5100 implemented a coaching program, where experienced GG Coaches give advice at the start, and provide guidance and resources as needed during the process. It saves lots of time and trouble.

The first step is to discuss the concept with the GG Chair and Lead Coach. Next, complete the "Rotary GG Early Concept Form" (6Q). It is a good idea on all GGs, even initiated outside D5100, and it is required for International Sponsor clubs in D5100. The Coach assigned may bring in other experts or Cadre members to assist.

### **STEP 2: District Approval for DDF, Applying for a GG**

After the Coach has given advice and approved the "Rotary GG Early Concept Form" (6Q), a tentative reservation of DDF will be made. Clubs must submit an online global grant application that provides The Rotary Foundation with a detailed project plan including community assessment, detailed budget, an implementation plan, training plan(s), explanation of sustainability, supporting documents, as well as answer other

questions. This application form may vary depending on the Area of Focus or type of project.

Global Grant matching funds from the World Fund are categorized in levels. So, grants of \$200,000 or more require approval by the Trustees and usually require advance in-person visits by members of the Cadre of Technical Advisors in advance or other stages of the project. Global grants of \$50,000 or more usually include a review or visit by a member of the Cadre or the TRF Area of Focus manager. The grant award requested of The Rotary Foundation must have a *project value* of at least \$30,000 and the maximum TRF World Fund grant is \$400,000. The application must be submitted and approved within 6 months of the date online submission is started; if not, it may be removed, or you may have to start all over.

### **STEP 3: On-Line Application, TRF Response**

Online at [www.rotary.org](http://www.rotary.org), click on My Rotary and log-in; click “Take Action”, “Apply for Grants”, and “Global Grants”. Complete detail in all sections, upload required documentation, “signed” by the primary Rotary Members contacts, and submit it for additional Rotary leader authorizations (club Presidents, DRFC & DG). Follow up. TRF grant staff often ask for additional information or clarification. If not approved at first, discuss with your Coach and RGO how it might be modified to qualify.

### **STEP 4: Payment**

Upon approval of the project application, the Rotary Foundation will notify all project partners and all the club or other committed funds must be remitted to the Rotary Foundation within 90 days; otherwise, approval will be withdrawn. Once all funds are received, The Rotary Foundation will remit payment(s) to the host or international Rotary club designated to receive the funds. For larger projects, payment may be in “tranches” or installments.

### **STEP 5: Project Implementation**

Implementation of the approved project can start once approved and must begin within 12 months of transfer of funds to the Rotary clubs by the Rotary Foundation. If implementation will take more than one year, an annual progress report is required from the lead clubs (host and international). Progress reports must be submitted every twelve months from (a) the first issued payment or (b) the date the last annual report was approved.

### **STEP 6: Final Report**

Within two months of project completion, the sponsoring clubs must submit a final report to the Rotary Foundation. *Acceptance of the final report* by the Rotary Foundation is what closes out the project. However, it is recommended that the impact and maintenance of the project be monitored by the sponsoring Rotary clubs for up to five years from project completion with summary annual reports prepared. If funds are needed for monitoring and evaluation, the grants can remain open for that purpose. Up to 10% of total project value can be spent on monitoring and evaluation. *Project receipts*

and records of project expenses must be retained for five years after the final report is accepted by TRF.

If a Global Grant application is vacated by a club and/or the reservation for the DDF from District 5100 has expired, a request for removal must be sent by the originator of the Global Grant to Global Grant Chair, who will forward it to the Rotary Foundation to request the application be removed from the Rotary.org website. If a project has significant funds left over, or the project fails and money remains, those funds must be returned to TRF (none go to any club or district); at present they will go into the World Fund.

## **10. VOCATIONAL TRAINING TEAMS (VTT)**

Vocational Training Teams were developed to build upon our successful Group Study Exchange program by including the requirements for meeting one or more of the *Areas of Focus* and incorporating sustainability. VTTs are designed to create a meaningful impact in the lives of others using the vocational and professional skills of team members, particularly in countries where resources and infrastructure are limited. A key function for a VTT is the transfer of know-how to the host region.

### **Rotary Foundation Requirements for VTT Grants**

1. Teams consist of a minimum of one Rotary Members team leader and three non-Rotary Members team members with no maximum limit of participants. Rotary Members may be included as team members if the team includes three non-Rotary Members.
2. All participants on a single team must have careers linked to the goals of the grant, but they are not required to have the same profession.
3. Team members must be selected through a formal application and lead-club interview process. See additional qualification requirements in this form: [Global Grants Vocational Training Team Member Application](#).
4. Teams may be multi-vocational but must share a common purpose in support of the project and selected Area of Focus. The goals of the team must be sustainable and measurable.
5. There is no restriction on the age of the team leader or team members.
6. One or more VTT teams may travel under each grant.
7. Teams may either receive or provide training. A key concept of successful VTT applications is providing opportunity for capacity building, i.e. the process of developing and strengthening the knowledge, skills, and abilities necessary for

individuals to achieve sustainable development in the future.

8. Global VTT Grants must meet the minimum amounts of TRF GGs, including the expenses for the vocational training team, as well as any other grant activities or expenditures.

**Application Process:**

1. A detailed travel itinerary must outline the team's travel arrangements (both local and international) including daily activities, and hosting accommodations as well as providing required information from any/all cooperating organization.
2. There is no minimum or maximum on the duration of the team's visit to the project site.

## Appendix A

**The Rotary Foundation Mission** is to enable Rotary Members to advance world understanding, goodwill and peace through the improvement of health, the support of education and the alleviation of poverty.

### What is "Rotary Members Active Involvement"?

The Rotary Foundation and District 5100 (D5100) require Rotary Members to be actively involved in projects or programs that are funded by The Rotary Foundation (TRF) grants - District or Global grants. D5100 asks Clubs and Rotary Members to spend a substantial amount of time, energy or expertise contributing to the project as volunteers. This improves the capacity of the community or program in a significant way, and demonstrates it is a Rotary project.

D5100 requirement for Rotary Members Active Involvement:

1. *All grants require* preparing a grant application, required reports, gathering funds and stewardship – this is not sufficient “active Rotary Members involvement”. Likewise, visiting with project partners/ and Rotary Members, viewing the project site, going to project fairs, scouting for partners and projects, and celebrating success are ways to better understand the community or become more aware of International Service and host clubs; but is also not sufficient “active Rotary Members involvement.”
2. *Actively Being Involved:* D5100 requires that Rotary Members in lead clubs (Host and International partners), and hopefully also supporting clubs, be actively involved in at least one of the following ways:
  - a. Planning - a baseline study, a community assessment, or site visits where you assist with substantial gathering of data & photos (or video clips).
  - b. Collaboration - searching for partners and creating a good collaboration between 2 or more stakeholder groups, documenting it with an MOU (partners can include NGO, university, local government, or contractors).
  - c. Technology - providing needed technical assistance by scoping and identifying appropriate local solutions, or preparing diagrams and providing technical resources, which are used in the project.
  - d. Training – finding, then adapting a suitable program training the community, or changing behavior in positive ways, to make the project sustainable.
  - e. Hands-on - project construction, or delivering equipment, tools and supplies then training the users.

- f. Awareness, Capacity Building or Advocacy - significant efforts that build community awareness, or building capacity of the community, or the NGO or local government, or creating demand, or strongly advocating for the community - which will support the program & community into the future.
- g. Monitoring & Evaluation - being on an inspection team diligently studying the project at the household/school/clinic level, conducting M&E (Monitoring & Evaluation) activities, e.g., written surveys, focus groups or community meetings, and compiling them into a meaningful report.

While active involvement is required, it is not expected to be overly burdensome. Active involvement of the Rotary Members(s) and Club is a judgment call by the D5100 Grants Committee and district leaders. Please explain early how you and your fellow Rotary Members will be actively involved in the project development.

Here are some variations for different project types:

*International global grants:* Our clubs' partner with a host club in-country, and all recognize the host club will be more actively involved. Yet both host and international partner clubs should join hands in these projects, use their best thinking and methods. Both clubs are jointly responsible for community involvement, the project, achieving its goals, stewardship, and making sure it is sustainable - financially, socially, and technically. Discuss and select for you and your club a role you can contribute. Some of these activities by our Rotary Members(s) are done when they are in the target community or nearby ("in-country"), and many can be done remotely (from here). If your club is not the primary international sponsor club, the rules allow the primary club to be the one "actively involved" - but it is still highly advisable that your club be actively involved in one or more ways.

*International District Grants:* These can be without a host Rotary club in-country, but a partner organization is still usually required: an NGO, hospital, university, or school, Rotaract club or Rotary Community Corps, or a community committee. Discuss a role you and your club can contribute, in collaboration with that partner. Long-term sustainability is not required for District Grants, it but is very desirable.

*Local District Grants:* These local projects are with local partners of various types. Meetings, strategizing, and hands-on activity are easier to do, so become involved and let us know what you will do. Long-term sustainability is not required, but it is very desirable.