

Humanitarian Grants Policies and Guidelines

Appropriate Grant Implementation

1. Requirements

All grants from The Rotary Foundation must:

- promote active and personal participation of all Rotarians involved in the implementation of the project;
- assist in the development of stronger Rotary networks as clubs from different communities and/ or nations work together **to implement projects that have been initiated by a Rotary club in a project location.** Projects which receive TRF support should satisfy the real humanitarian needs of the receiving community;
- not involve the establishment of a permanent foundation, trust, or permanent interest-bearing account. *Grant projects can involve the establishment of a revolving loan fund, but must include training and detailed information regarding recipient payback schedules;*
- not directly benefit a Rotarian; an employee of a club, district or other Rotary entity, or of Rotary International, or a spouse, lineal descendant (child or grandchild by blood or legally adopted child), a spouse of a lineal descendant, or an ancestor (parent or grandparent by blood) of any living Rotarian or Rotary employee;
- not duplicate any existing Foundation or other Rotary-sponsored programs;
- exclude any liability to The Rotary Foundation or to Rotary International except for the amount of the grant;
- be properly submitted, thorough, and fully completed; If these conditions are not met, the application will be returned with explanation;
- be consistent with the criteria, procedures, and policies of the Polio Plus program and the World Health Organization for projects involving vaccines and immunizations;
- provide a publicity plan for grants received above US\$25,000;
- not be used to reimburse clubs/districts for projects already undertaken and in progress, an existing project, activities primarily sponsored by a non-Rotary organization, or for projects that are already completed. The Foundation will only fund projects that have been reviewed and approved by the Trustees of The Rotary Foundation prior to their initiation.

2. Grant fund limitations

Grant funds cannot be used:

- for purchase of land and buildings. If the grant depends upon the construction of a building, the construction must be funded by additional (that is non-matched) club/district funds or funded by a cooperating organization. The Foundation will not release grant funds until such construction is completed.
- for construction of any structure in which individuals live, work or engage in any gainful activity such as buildings, containers, and mobile homes or structures where individuals carry out any type of activity including manufacturing, processing, maintenance and/or storage. The only exception to the above guidelines is the funding of low cost shelters for extremely underprivileged families. Construction of infrastructure such as service roads, wells, reservoirs, dams, bridges, latrines, toilet blocks, and water supplies and other similar structures is acceptable.

- for renovation of structures, including the provision of new services or upgrade of utilities (i.e. - electrical & plumbing), in which individuals live, work or engage in any gainful activity such as buildings, containers, and mobile homes or structures where individuals carry out any type of activity including manufacturing, processing, maintenance and / or storage.
- for salaries, stipends or honorariums for an individual or individuals working for a cooperating organization or beneficiary;
- to support the operating or administrative expenses of any organization;
- for post-secondary education activities, research, or personal or professional development;
- for excessive support of any one beneficiary, cooperating organization, or project;
- for international travel expenses of any kind except where expressly permitted.

Standard Grant Policies

1. Reporting requirements

- Failure to provide acceptable reports on previous grants in a timely manner will result in the sponsors (both international and local where appropriate) not being able to initiate new projects.
- Sponsors must meet all preconditions for payment 15 months from the date of the grant announcement letter or the grant will be terminated.
- Sponsors must demonstrate significant progress within 15 months of the release of payment installment or the grant will be terminated.

2. Cooperating Organizations

A grant conducted in cooperation with another non-Rotary organization must meet the following conditions:

- The Rotary sponsor(s) must clearly demonstrate that the project is initiated, controlled and conducted by the Rotary clubs or districts involved; Rotarians must participate in giving their time, resources, and personal involvement to the project.
- Both Rotary co-sponsors and the local Rotary clubs (where appropriate) must have knowledge and provide a letter of endorsement for the non-Rotary organization as reputable and responsible, and have determined that the organization is registered and acts within the laws of the project country.
- The non-Rotary organization cooperating in such projects must agree to participate and cooperate in any financial review of activities connected with the project.
- An annual limit of eight grants can be made in cooperation with another organization.

3. Stewardship of Rotary Foundation funds

Rotarians have entrusted The Rotary Foundation with their contributions with the faith and understanding that they will be used effectively and for the purposes for which they were given. All involved clubs, districts and, others associated with the project are expected to:

- a. Treat Rotary Foundation grant funds as a sacred trust to be constantly safeguarded from loss, misuse, or diversion and to be used only for the stated purpose, which shall be strictly interpreted;
- b. Assure competent and thorough oversight of the project with clear delineation of responsibility, which assumes the utmost care given to even the appearance that Rotary Foundation funds are being used in an improper manner;

- c. Conduct all financial transactions and project activity relating to the grant at least at the level of standard business practice and always in consonance with the “Declaration of Rotarians in Business and Professions” and in the full spirit of the Four Way Test;
- d. Report immediately any irregularity in grant-related activity to The Rotary Foundation;
- e. Implement projects as approved by the Trustees in their grant award. Any deviation from the agree terms or changes in the implementation of the project must receive prior written authorization from The Rotary Foundation.
- f. Arrange for independent financial and performance reviews and/or audits in accordance with current Trustee policy and guidelines;

4. *The Rotary Foundation’s Guidelines for the Construction of Low Cost Shelters*

The Trustees of The Rotary Foundation agreed to support the construction of Low Cost Shelters as an exception to The Rotary Foundation’s established Construction Policy in an effort to help the *extremely underprivileged* and as such, the construction of shelters should be very simple and meet basic human needs.

- Shelters should provide a safe place to live for a family unit in an acceptable, safe environment (the area must be free from possible floods, rock slides, volcanic eruption, etc.).
- A complete set of plans including schematic drawings of the shelters, the construction site and safe water and sanitation facilities as well as information relating to installation of electricity, and all other information needed to facilitate a complete technical and financial review of the project is required with any application that supports the construction of Low Cost Shelters.
- The minimum number of shelters to be constructed with a single grant award is five, so that economies of scale can be achieved, appropriate water and sanitation installed and administrative costs minimized. The maximum number of shelters to be constructed at a single site, with total use of Foundation funds, is not to exceed 50, as any more would result in a need to provide an expensive urban infrastructure which is beyond the scope of Low Cost Shelter projects.
- The use of common walls in the design of the shelters is encouraged as a means of minimizing project costs.
- Written documentation from both the land donor and the local competent authority that the project has their full support and they will permit the project to start without delay once grant funds are released must be included with all complete applications.
- No expansion or alteration of individual shelters should be provided for in the initial plans to construct the Low Cost Shelters or actually implemented for five years after the shelter is constructed.
- Payments for Low Cost Shelter projects will be made in installments, based upon an agreeable payment plan, with the first payment released upon the receipt of all payment requirements and with subsequent payments made upon the receipt of acceptable interim reports that include photographic evidence of the project’s progress. Additionally, an amount of US\$5,000 or more, which is no less than 10% of the project budget, will be withheld until the shelters are fully completed, and all evaluation visits and other reports have been submitted and approved.
- The incorporation of a home maintenance plan for all projects as a means of assuring the long-term sustainability of Low Cost Shelter projects is encouraged. Such plans should provide training for the individual and collective upkeep and maintenance of construction elements like water wells, latrine blocks, the roof, etc.

5. *Population Growth and Development*

The Rotary Foundation (TRF) supports the programs of Rotary International, including their aims and objectives with respect to RI's statement on Population Growth and Development.

The Rotary Foundation will consider supporting the following expenditures:

- Pre-natal medications/vitamins
- Birthing medications
- Newborn baby screenings
- Surgical instruments to help with births
- Pre-natal screening
- Ultrasound equipment (as long as it is used for diagnosing and treating patients)
- Education and Training:
 - Public health education
 - Family planning training
 - Information on sexually transmitted diseases
 - Community health training
 - Balanced diet and nutrition awareness

6. *Revolving Loans*

- Clubs and districts are encouraged to establish their own revolving loan programs, whether they involve money, animals, equipment, or other types of loan programs, as a way of undertaking sustainable development projects. Cooperating organizations can assist Rotary clubs and districts working with microcredit and revolving loan funds. The Foundation will not consider any grant applications for microcredit or revolving loan funds involving cooperating organizations until those organizations can demonstrate their ability to meet the requirements of The Rotary Foundation and significantly involve local Rotarians in these activities.
- Grant awards for Revolving Loan Funds may be approved within all appropriate Humanitarian Grants up to US\$10,000.

7. *Use of the Rotary name and Emblem*

The following guidelines on the use of the "Rotary" name and emblem are RI policy. They must be followed when naming a project in any literature that is developed.

THE ROTARY NAME:

- The RI Board has determined that any use of the "Rotary" name without a further qualifier, such as the name of a Rotary club or a Rotary district, refers to the international association, RI.
- New project names or programs not under the exclusive control of RI, when using the name, "Rotary," must include the name of the participating Rotary club(s) or district(s) and should not use the name, "International."
- If using the words, "Rotary," and "Foundation," these words must not appear together, but must be separated by additional identifying information, such as the name of the participating Rotary club(s) or district(s).
- Ongoing programs not under the exclusive control of RI and not conforming to these guidelines should be renamed to provide this additional identifying information (i.e. the name of the participating Rotary club(s) or district(s) must be included when using the name "Rotary").
- The naming of any project that does not conform to the guidelines must receive specific RI Board approval.

THE ROTARY EMBLEM:

- The Rotary Emblem, like the Rotary Name, represents the international association, RI.
- Whenever the Rotary Emblem is used for a project, program or activity not under the exclusive control of RI, the name of the participating club(s) or district(s) should also be used in addition to the emblem; should appear directly adjacent to the emblem; and be of a size of equal prominence to the emblem.
- Any reproduction of the Rotary Emblem must meet RI's proper emblem specifications.
- Camera-ready art can be obtained through your Club and District Administration Supervisor.
- No alterations, modifications or obstructions of the Rotary Emblem are permitted. The emblem must be faithfully reproduced and always appear in its entirety.
- The RI Bylaws discourage any joint use of the RI Emblem with the emblem or logo of another organization (“The use of such name, emblem, badge or other insignia in combination with any other name or emblem is not recognized by RI.”)

District Simplified Grants Criteria

1. District Simplified Grants support the service activities or humanitarian endeavors in which Districts wish to engage. Each grant program must:
 - a. adhere to the grant policies which govern all grant programs;
 - b. respect the wishes of the receiving community; understand and appreciate another country's tradition and culture.
2. District Simplified Grants are funded with District Designated Funds. A District may apply annually for a single grant for one or more projects that utilizes a maximum of 20% of its SHARE allocation, which represents 60% of annual giving three years prior.
3. District Simplified Grants require the direct involvement of Rotarians by:
 - assessment of community needs and development of a project plan;
 - establishment of a committee of at least three Rotarians to oversee the expenditure of funds
 - oversight of grant funds;
 - involvement in the implementation of projects;
 - provision of evidence of community involvement and ownership;
 - organization of meetings with local service providers, local officials, and/or recipients;
 - promotion of projects in the local media.
4. Requests for participation in District Simplified Grants shall be submitted to The Rotary Foundation in the year prior to funds being available and no later than 31 March. Requests shall be submitted by the District Rotary Foundation Chair in cooperation with the District Governor Elect and must include an agreement to:
 - a. establish a committee of three Rotarians to oversee the expenditure of grant funds;
 - b. comply with all standard grant policies and guidelines and District Simplified Grants criteria;
 - c. return any funds deemed ineligible by TRF and be suspended from receipt of future grants for a period of up to five years.
5. Payments of District Simplified Grants will be made in installments if the grant is more than US\$25,000. Districts are required to provide interim reports delineating the expenditure of funds before additional installments will be made. Interim reports shall be made at least every six months for the duration of the grant. Upon complete expenditure of funds and finalization of the grant, the district is required to submit a final report.
6. Recipients of District Simplified Grants shall submit final reports within two months of the full expenditure of grant funds. Failure to adhere to the TRF policies and guidelines in the implementation of projects and expenditures of funds will result in the district returning misused grant funds in their entirety and being barred from receipt of future grants for a period up to five years. The final report shall include the following:
 - a. a highly detailed and clearly organized report of all expenses;
 - b. copies of receipts for items purchased with a cumulative dollar value of US\$1,000 or more;
 - c. detailed information regarding all beneficiaries of grant funds;
 - d. a detailed account of Rotarian participation in the implementation of the projects, which reflects the required Rotarian activities outlined in District Simplified Grant criteria;
 - e. a detailed narrative delineating the implementation of the projects and how experiences garnered will inform/guide the district for the next Rotary year.

Individual Grants Criteria

1. Individual Grants support the travel of qualified Rotary Volunteers planning or implementing service projects. The project must:
 - a. adhere to the grant policies which govern all grant programs;
 - b. comply with TRF policies regarding travel insurance;
 - c. be submitted with an application four months prior to anticipated departure dates and approved eight weeks prior to scheduled departure.
2. Individual Grants support:
 - a. a maximum award to one project site of US\$6,000 per activity;
 - b. individual Rotarians or small groups of Rotarians (2-5);
 - c. an individual volunteer no more than two times per Rotary year
3. Eligible items include:
 - a. economy class airfare
 - b. minimal daily living expenses
 - c. ancillary travel expenses
 - d. a maximum grant funding based on length of stay (not including travel days):

5-8 days	US\$1,200
9-15 days	US\$2,000
16-21 days	US\$3,000
22-30 days	US\$3,500
31-38 days	US\$3,900
39-46 days	US\$4,300
47-54 days	US\$4,700
55-60 days	US\$5,000

4. Rotary clubs hosting individual grant participants must provide a letter of invitation that confirms the skill/project is needed in the community including a brief paragraph outlining Rotarian activities.

Recommended activities of the host club include:

- organizing meeting(s) with local service providers and/or local officials for visiting Rotarians;
- offering, when possible, accommodations in the homes of local Rotarians. If this is not possible, arrange hotel accommodations for visiting Rotarians;
- assisting with local transportation;
- visiting the project site/ Volunteer at the project site;
- inviting visiting Rotarian(s) to speak to the local clubs.

Rotary clubs sponsoring the international travel of grant participants must provide a letter of endorsement from the current club president for the individual applying for the grant including a brief paragraph outlining Rotarian activities, and

- establish communication with local Rotarians;
- register participating individuals as a Rotary volunteer;
- provide TRF with a schedule of events and a list of intended outcome.

Recommended activities of the international club include:

- involving local Rotarians in the implementation of the grant;
- publicizing the volunteer service in the media;
- organizing presentations about the grant upon return to home country.

5. Sponsors are required to submit a report upon the project's completion.
 - a. The host club must provide a completed post-service evaluation form.
 - b. The program participants must provide a final report upon return.
 - c. Failure to provide accurate and timely reports could result in barring the club from future grants until an acceptable report is received.

Matching Grants Criteria

1. Matching Grants support Rotary clubs and districts as they address humanitarian conditions that benefit a community in need. The grant project must adhere to the grant policies which govern all grant programs.
2. TRF will provide a 1:1 match for DDF and a 0.5:1 match for cash contributions that clubs and districts have provided.
 - a. A significant portion of contributions must come from outside the project country.
 - b. Budgets of Matching Grants require:
 - Minor Matching Grant 0-US\$2,000: Sponsors are required to a budget consisting of eligible items.
 - Major Matching Grants US\$2,001-US\$150,000: Sponsors are required to submit an itemized budget consisting of eligible items and names of suppliers.
3. Rotary clubs and districts are required to:
 - Minor Matching Grants
 - maintain communication and dialogue for the life of the project;
 - establish a committee of at least two Rotarians to oversee the project;
 - jointly assess community needs and plan for the project before submitting the application;
 - provide a brief paragraph explicating how each club or district will work together to implement the project.
 - Major Matching Grants US\$2,001- US\$25,000
 - as outlined in Minor Matching Grants and;
 - visit the project site on an as-needed basis. The international club must share information via correspondence or by visiting the project site.
 - Major Matching Grants US\$25,001- US\$150,000
 - as outlined by Minor Matching Grants and Major Matching Grants US\$2,001- US\$25,000 and;
 - provide information by means of a community needs assessment;
 - provide information indicating how the project is viable and will be maintained;
 - provide evidence of community involvement and ownership.
4. Required authorizations for Matching Grants are:
 - Club presidents if two clubs are sponsoring the project;
 - District Grant Subcommittee Chairperson if a district or districts are sponsoring the project;
 - District Rotary Foundation Chair if DDF funds will be used;
5. Both international and host sponsors must work together to prepare and submit interim and final reports. Sponsors are required to submit an interim report every six months for the life of the project. A final report is due two months after the project's completion. Failure to provide accurate and timely reports will result in barring the sponsors from receiving future grants until an acceptable report is received.
6. Rotary clubs and districts serving as host sponsors for a project are limited to five open Matching Grants at any given time. Sponsors will not be able to initiate new projects if there has been failure to report on previous projects within the time frame provided.