



## **CHURCHES HEALTH ASSOCIATION OF ZAMBIA**

### **GRANT MANUAL**

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<b>CONTENTS</b>		<b>Page</b>
<b>1. INTRODUCTION</b>		
<b>1.1</b>	<b>About this Manual</b>	<b>1</b>
<b>1.2</b>	<b>Churches Health Association of Zambia Profile</b>	<b>1 – 3</b>
<b>2. GRANT DISBURSEMENT</b>		<b>3</b>
<b>3. PROPOSAL REVIEW AND APPROVAL PROCESS</b>		<b>4 – 6</b>
<b>4. REPORTING REQUIREMENTS</b>		<b>6 - 7</b>
<b>5. RECEIVING FUNDS</b>		<b>7 - 8</b>
<b>6. ACCOUNTING RECORDS</b>		<b>8</b>
<b>7. PROCEDURE FOR APPRLYING FOR FUNDS</b>		<b>8 – 10</b>
<b>8. PROPOSAL STRUCTURE AND SUBMISSION</b>		<b>11 – 12</b>
<b>9. RECORD KEEPING AND FINANCIAL REPORTS</b>		<b>12 – 14</b>
<b>10. GRANT MONITORING</b>		<b>14 – 15</b>
<b>11. GRANT EVALUATION</b>		<b>15</b>
<b>12. GRANT CLOSURE</b>		<b>15 - 16</b>
 <b>APPENDICES</b>		 <b>Page</b>
<b>Appendix 1</b>	<b>Grant Agreement</b>	<b>17 - 26</b>
<b>Appendix 2</b>	<b>Pre-Award Assessment Checklist</b>	<b>27 - 34</b>

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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### 1. INTRODUCTION

#### 1.1 ABOUT THIS MANUAL

This manual forms the basis for the disbursement of funds, evaluation of control procedures, and financial and programmatic reporting on all activities funded by CHAZ.

The increase in the financial resources being handled by both CHAZ Secretariat and the related church health institutions and FBO's resulted in the development of this manual. A lot of our systems have undergone intensive reviews in response to the increased volumes of the funds. The manual is not meant to restrict the application of new procedures and controls that may also be deemed necessary by CHAZ management from time to time.

Certain accounting procedures mentioned in this manual may become inapplicable in later periods due to rapid changes by both Partners and CHAZ Secretariat reporting requirements. In such an event this manual will reflect the changes through periodic revisions to be communicated to the intended users timeously.

#### 1.2 CHURCHES HEALTH ASSOCIATION OF ZAMBIA PROFILE

The Churches Health Association of Zambia (CHAZ) was created in 1970 as an interdenominational, non-governmental organisation of church health institutions in Zambia. There are 123 institutions affiliated to CHAZ representing 16 different denominations and church organisations. Together, these institutions are responsible for over 59% of formal health care in rural areas of Zambia and about 30% of health care in the country as a whole.

Some of the services provided by member institutions are HIV/AIDS care and prevention, child health, malaria control, reproductive health, leprosy control, eye care and tuberculosis control among others.

#### **CHAZ's Mission statement**

CHAZ is an interdenominational umbrella body of church health facilities and community based programmes. We are committed to serve communities with holistic quality health services that reflect Christian values.

#### **CHAZ's Vision**

The vision of CHAZ is to see a Zambian society where all the people are healthy and uphold Christian values.

### **Shared Values**

In pursuit of our vision and mission, CHAZ commits itself to the following core values to guide all aspects of our work, internally with our employees and members, and externally with our partners and clients:

#### ***Bear Christian witness***

All aspects of our work shall reflect the values of the Christian Faith and Calling.

#### ***Client-centeredness***

In all our work, client satisfaction shall be at the core of our activities.

#### ***Unity of purpose***

We shall strive to act in unity to achieve our common vision where all people are healthy and uphold Christian values.

#### ***Work as a commitment***

In CHAZ, work is a service to God and Society, not just a means or earning money. It is a Christian Calling.

#### ***Partnership and Innovation for sustainability***

All staff in CHAZ shall be encouraged and supported to come up with new ideas and new ways of doing things aimed at improving the quality of health services delivered.

CHAZ realises that complete self-reliance is not possible and shall partner with Government and other stakeholders in health with the aim of working towards improving its income base and cost effectively manage its resources.

#### ***Excellence***

In all our work we shall aim to do the best for our clients.

#### ***Openness***

Openness and transparency shall be at the core of business. We shall encourage free dialogue and feedback throughout the organisation.

#### ***Holistic service***

Realising that health is not just the absence of disease but is the spiritual, physical, mental, moral, social and economic well being of the person who is created in the image of God, CHAZ shall follow a holistic approach at all levels of its operations.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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### 2. GRANT DISBURSEMENT

CHAZ Secretariat does not implement all Partners activities at the central level. Funds are disbursed to member institutions and qualifying FBOs. All church health institutions and FBOs are not required to set up parallel structures along side the already existing structures at the institutions. Resources are meant to scale up activities already running in the institutions. Therefore priority to access funds is given to church health institutions and FBOs that are already involved in the fight against HIV/AIDS, TB and Malaria.

Disbursements are done in two broad categories. These are:

- Church Health Institutions (CHIs). This includes all CHAZ member institutions. These member institutions have direct access to funds from CHAZ Secretariat.
- Traditional church mother bodies. Currently CHAZ has appointed thirteen sub-recipients which include church mother bodies and other FBOs. The following are the existing sub-recipients:

Council of Churches in Zambia (CCZ)  
Evangelical Fellowship of Zambia (EFZ)  
Young Women Christian Association (YWCA)  
Zambia Interfaith Networking Group (ZINGO)  
Youth Alive  
Henwood Foundation  
Mindolo Ecumenical Foundation  
Chipata Diocese  
Mansa Diocese  
Ndola Diocese  
Solwezi Diocese  
Monze Diocese  
Mongu Diocese  
Kabwe Industrial Adventist Family Health Institute (KAFHI)

These sub recipients obtain funding from CHAZ and identify eligible FBO's to fund. All other FBOs are required to apply to the sub recipients.

Both CHI's and Sub-recipients belonging to the two categories defined above, and herein after referred to as recipients, are required to abide and adhere to the processes and procedures outlined below.

### **3. PROPOSAL REVIEW AND APPROVAL PROCESS**

#### **3.1 Technical Review Panel (TRP)**

CHAZ has a Technical Review Panel (TRP) in place which every quarter to review proposals submitted for funding. The panel comprises the following members:

Grant Specialist  
Financial Analyst  
M&E officer  
TB Programme Officer  
HIV/AIDS Programme Officer  
Malaria Programme Officer  
LCCB Programme Officer  
ART Programme Officer  
Assistant HIV/AIDS Programme Officer  
NZP+ Representative  
Church Representative

#### **3.2 Scope and Terms of Reference of the TRP**

The TRP is required to assess the proposals in terms of:

- Relevance to the fight against HIV/AIDS, TB, Malaria etc
- Future sustainability of each project in the absence of CHAZ funding
- Impact on the surrounding communities
- Administrative realities

#### **3.3 Church Health Institutions (CHIs)**

CHIs and FBO applying to be appointed recipients are required to send their applications directly to CHAZ Secretariat in Lusaka. A Technical Review Panel (TRP) set up at the Secretariat will review the proposals submitted for approval.

#### **3.4 Faith Based Organisations (FBOs)**

FBOs affiliated to the sub-recipients mentioned in 3 above are required to submit their proposals to the sub-recipients they are affiliated to. The sub-recipient is expected to set up a TRP that will review the proposals submitted for approval by the FBO's affiliated to them.

### 3.5 Proposal review and approval

The TRP reviews and approves proposals submitted for approval. The TRP is made up of members of diverse expertise. The TRP will assess the proposals submitted on the basis of set minimum criteria. CHAZ Secretariat has agreed targets to be met with Partners. Therefore, all proposals will be assessed in line with their expected contribution to meeting overall targets. Any proposal that is not expected to make a contribution to meeting CHAZ targets will not be approved. The minimum factors to be considered are:

- Technical Soundness of the proposal – this will involve looking at the feasibility of the proposed scaling up activities;
- Economic Soundness – this will assess the proposal’s ability to result in higher benefits to the catchment areas of operations;
- Community Participation – the target population must be involved in all the activities envisaged;
- Budget – a detailed budget of all the expenditure lines;
- Accountability – there should be evidence of established systems in procurement, financial reporting and human resource capacity;
- Sustainability – this will involve looking at the continuity of the project with other sources of financing beyond the PARTNERS.
- Historical perspectives of applicant – this will involve assessing the documented and known track record of the organisation. The organisation must have been in existence for not less than two years at the time of applying.

### 3.6 Pre-award survey

Once proposals are approved by the TRP, a site visit is made by the CHAZ Secretariat Finance staff and Program Officers to determine the prospective FBO’s ability to execute the proposed activities and to manage the activity funds. A pre-award assessment checklist is used to gather information about the organisation. Refer to Appendix 2 for pre-award assessment checklist. In summary:

- An analysis of the prospective recipient will involve assessing the ability to effectively carry out the project by reviewing past performance in executing similar activities. This will also include a review of documents such as audit reports and financial statements.
- Pre-award surveys, if necessary, will be followed by training programmes. At the conclusion of the survey, the team will provide a report of the findings including recommendations for any needed changes in the FBO’s financial management system and recommendations for future training and follow-up.
- In addition, the team will recommend a cash disbursement schedule to be determined jointly with the prospective FBO.

- Upon conclusion of the field visit, the team will organise training sessions designed to overcome any shortcoming identified during the visit.

### **3.7 Grant Agreement**

After the survey visit and the submission of the report, the Grant Specialist/Financial Analyst prepares a prescribed format of the Grant Agreement. The Grant Agreement is prepared in duplicate. The first copy to be kept by CHAZ while the second copy will be for the successful FBO. Both copies of the agreement are sent to the FBO together with a cover letter informing the FBO of the award. The FBO will have to sign and seal the agreement, keep one copy for their file, and return the second copy to CHAZ Secretariat. The sub-recipients must submit the banking details in the agreement form, including the name of their bank account, name of bank, name of branch, account number and name of the signatories. Funds will not be released to the FBO until the CHAZ Secretariat receives the signed agreements. Refer to Appendix 1 for Grant Agreement.

## **4. REPORTING REQUIREMENTS**

### **4.1 Financial Requirements**

The CHAZ Secretariat will disburse money for activities approved in the submitted proposal and according to the budgeted figures. The money will be received by the successful FBO, recorded and accounted for to the CHAZ Secretariat.

All successful FBO's are required to open a separate bank account in Zambian Kwacha. This is the account that will be used to receive money from CHAZ and hence will be used for all transactions relating to the activities. Mingling of funds with other projects or amongst the three disease components is not allowed. This has the advantage of clarity in accounting for the funds to CHAZ. This will also entail maintaining a separate cashbook detailing the receipt of funds and their subsequent application.

In addition, the organisation is required to maintain as bare minimum the following accounting records:

### **4.2 Cashbook**

This will be a record of all the monies received and subsequent expenditure ensuing there from. The cashbook must always reflect the transactions of the funds kept at the bank.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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### 4.3 Supporting documentation i.e. original copies of receipts and invoices

These are copies of all documents supporting the receipt of the money (such as Credit Advice and receipts) and expenditure (such as invoices, receipts, account statements, approved and signed forms etc.).

### 4.4 Fixed assets register

A register of all the budgeted and approved property and equipment acquired using the PARTNERS monies. The register should include such details as the date of acquisition, identification number/code, and location. All assets bought using the PARTNERS money will be owned by the CHAZ Secretariat unless under express transfer of ownership.

### 4.5 Bank statements and bank reconciliation statements

Every month, a bank reconciliation statement between the cashbook closing balance and the bank closing balance as shown on the monthly bank statement must be done. The bank statements should be collected from the bank at the end of every month.

## 5. RECEIVING THE FUNDS

5.1 CHAZ Secretariat will be informed of the details of the bank account opened with the following details explicitly stated:

- i. Bank Name (e.g. Citibank, Zambia)
- ii. Bank Account Name (e.g. CHAZ Global)
- iii. Account Number
- iv. Branch where account held (e.g. Lusaka Main)

CHAZ Secretariat will send money through a direct electronic money transfer to the Recipient's bank account.

5.2 Upon transfer of the money from CHAZ to the Recipient bank account, the Recipient Accountant will acknowledge the receipt of the funds by completing an acknowledgement sheet and sending it to CHAZ Secretariat.

Every such receipt of funds by CHAZ will have to be recorded in a receipt book. The receipt book must be serially numbered with a minimum of three copies as follows:

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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- a) Original Copy to be sent to the CHAZ Secretariat as evidence of having received the money;
- b) Second Copy to be attached to the acknowledgment sheet; and
- c) Third Copy to remain in the book as a book copy.

The funds so received will be recorded in the Recipient's cashbook as CHAZ grant income.

### **6. ACCOUNTING RECORDS**

6.1 All monies received must be entered in the cashbook by the close of the day that they are received. Subsequent expenditure and disbursement of such monies will also need to be recorded in the cashbook by the close of the transaction date.

6.2 After receipt of the money and recording in the cashbook, the following minimum records must be kept:

- a) A Cashbook**
- b) Supporting Documentation**
- c) Fixed Assets Register**
- d) Monthly Bank Reconciliation**
- e) Fund Accountability Statement**

6.3 Recipients will also be required to maintain the minimum accounting books and records kept by the CHAZ Secretariat.

### **7. PROCEDURE FOR APPLYING FOR FUNDING**

#### **7.1 General Requirements**

- a. The underlying assumption by the CHAZ Secretariat for funding CHAZ is that the various FBO Recipients already involved in the fight against HIV/AIDS, TB and Malaria will access these funds.
- b. The primary qualification for any organisation to be considered for funding by CHAZ is that they should fall under one of the three captions of registered FBOs.
- c. This means that CHAZ will consider giving out money firstly to the Traditional Church Mother bodies comprising the Evangelical Fellowship of Zambia (EFZ), Zambia Episcopal Conference (ZEC), Seventh Day Adventist (SDA), Council of Churches in Zambia (CCZ), and Christian Missions in Many Lands (CMML). Under this category are the Church Health Institutions (CHIs) that have long been partners in health delivery.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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- d. The second category of potential sub-recipients includes other FBOs such as the Zambia Interfaith Networking Group on HIV/AIDS (ZINGO) and the Expanded Church Response (ECR) that represent a relatively new group of churches, and other religions such as the Bahai, Hindus and Muslims.
- e. The third group will include FBOs such as YWCA and Youth Alive that represent 'traditional' key thematic areas such as interventions targeting women and the youth.

### 7.2 Qualifying Faith Based Organisations

An FBO will qualify for funding from CHAZ only when that FBO belongs to one or more of the categories mentioned in 9.1 above. The following additional factors will be considered before disbursing any money:

- a. The recipient should have adequate human and material resources.
- b. CHAZ will assess the capacity of the organization to account for the funds as well as its capacity to satisfactorily implement the agreed upon qualifying and existing programmatic activities.
- c. Partners monies finance scale up activities, and so an FBO should have been in existence for at least two years at the time of applying.
- d. Appropriate sensitisation on the financial reporting and the activity indicators will have to be done and agreed upon before the release of any finances. This will involve the CHAZ Financial Analyst and Programme Officers travelling to the various localities of the sub-recipients and engaging the recipients' staff in what is expected of them at the end of each reporting period.
- e. Any FBO that has received Partners from another source other than CHAZ at the time of applying or during the funding period by CHAZ does not qualify for funding. Any such funding will be discontinued by CHAZ with immediate effect.

### 7.3 Details required when applying

- a. Applications for funding from CHAZ for qualifying activities will be made using a proposal.
- b. Proposals by various FBOs will be forwarded to the identified sub-recipients that will scrutinise, edit, modify and assess the technical content and the capacity of the applicant.
- c. Non-approved applicants will be informed in writing.
- d. All applicants will be required to address their applications to the Executive Director at the CHAZ Secretariat:

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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Physical Address:

Churches Health Association of Zambia  
CHAZ House  
Plot 9306  
Ben Bella  
Lusaka

Postal Address

Churches Health Association of Zambia  
P.O. Box 34511  
Lusaka

- e. Each proposal must be completed by the applicant explicitly containing the following information:
- i. Name of the organisation;
  - ii. Physical and postal addresses of the organisation;
  - iii. Contact Personnel and their postal and e-mail addresses, and other contact details (like phone number(s), fax number etc);
  - iv. Year of establishment
  - v. Location of existing program;
  - vi. Name of Program or activity
  - vii. Types of existing activities to be scaled upwards;
  - viii. Duration of the program, i.e. starting date and envisioned future;
  - ix. Coverage in terms of geographical area and number and type of beneficiaries;
  - x. Challenges, constraints, and problems envisaged;
  - xi. The anticipated expenditure broken down into budget lines;
  - xii. Total amount being requested;
  - xiii. Evidence of registration as an FBO or affiliation to an FBO;
  - xiv. Evidence of existing activities e.g. bank accounts
  - xv. Reason why the Program/Project should be funded by CHAZ

under the PARTNERS money.

- f. Annexes 8, 9, and 10 show the letters that CHAZ will send to FBOs that will apply for funding.

### 8. PROPOSAL STRUCTURING AND SUBMISSION

#### 8.1 General layout of a Proposal

Proposals submitted for approval must contain certain critical standard information, inter alia, which will be the basis for assessment. The following structure, with layout variations, must be followed when sub-recipients and other FBOs are applying for activity funding under the PARTNERS chapter.

1. Cover Page
  - Containing organisational details such as mentioned in 3.1.3 (f) above.
2. Executive Summary
  - One page summary of the project, stating the main objectives, activities and the total cost of the project and amount being sought etc.
3. Organizational information
  - A brief introduction of the organization on one page such as the historical connotations, location, structure, mission statement, vision, beneficiaries, objectives, resources available, achievements and the comparative advantages, in any order of emphasis.
4. Rationale for the proposed work
  - A half page description of the rationale for existence and the proposed efforts to respond to the perceived problems.
5. Project Design
  - This section looks at the actual interventions that will be undertaken and the expected output (maximum of two pages).
6. Management and Implementation
  - A one-page summary outlining the responsibilities people will assume in the implementation of the project. This should also include the implementation strategy detailing the path the project will take.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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### 8. PROPOSAL STRUCTURING AND SUBMISSION (CONTINUED)

#### 7. Monitoring and Evaluation

- In this section, outline the methods that will be used to monitor and evaluate the activities, including quantifiable measures and a plan of how the target population will be involved in the monitoring process.

#### 8. Assumptions and Risk factors to be considered

- This section should briefly explain the factors that are likely to affect the implementation of the project both negatively and positively.

#### 9. Budgetary information and explanation

- Under this component, the applicant will include both human and material resources required to attain a degree of confidence in the implementation of the activities. It should state the amount of money being requested for and the purpose, the anticipated expenditure to be met by CHAZ and any other donor.

### 8.2 Proposal submission

#### a. Sub-recipients

Sub-recipients will have to submit their own proposals directly to the CHAZ Secretariat.

#### b. Affiliates of Sub-recipients

FBOs affiliated to the sub-recipients will submit their proposals to the sub-recipients they are affiliated to for examination, scrutiny, assessment, modification and approval.

### 9. RECORD KEEPING AND FINANCIAL REPORTS

#### 9.1 Project records

- All transactions relating to activities must be authenticated by adequate and approved supporting documentation.
- The CHAZ Secretariat will keep all records of transactions relating to the receipt of money from the Partners. It will also keep records of all ensuing expenditure incurred by CHAZ Secretariat.
- CHAZ will also maintain records of all the monies disbursed to the various recipients.
- All records must be retained for a minimum period of six years.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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### 9 RECORD KEEPING AND FINANCIAL REPORTS (CONTINUED)

- e. Sub-recipients will also be required to keep all the pertinent records for at least six years.

#### 9.2 Financial Records

The CHAZ Secretariat and all the sub-recipients must maintain the following minimum set of accounting records:

- a. Supporting Documentation
- b. Fixed Assets Register
- c. Fund Accountability Statement (FAS)

A FAS showing the monthly and cumulative income received, and the expenditure thus incurred, as well as the cash balance outstanding in the bank account should be prepared on a monthly and quarterly basis. The FAS must agree with the cashbook. The statement will include comparison with the budget.

- d. Stock Records

There must be record of all non-fixed assets items bought and kept for consumption. Items to be included are paper, pens, pencils, printer cartridges, diskettes, files etc. These items will be recorded on stock cards with details of the date received, receipts, issues, and the closing balance.

- e. Monthly Bank Reconciliation

Every month bank reconciliation between the cashbook closing balance and the bank closing balance as shown on the monthly bank statement must be done. The bank statements should be collected from the bank by the 10<sup>th</sup> of the following month.

#### 9.3 Financial Monitoring

- a. Financing of Recipients will be done on a quarterly basis.
- b. The requests should be based on planned activities for the quarter and the associated expenses.
- c. If funds are expended more quickly than anticipated, an additional cash request should be submitted to the CHAZ Secretariat along with the financial report through to the end of the most recent month.

### **9 RECORD KEEPING AND FINANCIAL REPORTS (CONTINUED)**

- d. After the first disbursement, cash requests will not be approved if not accompanied by a Fund Accountability Statement and supporting documents.
- e. The CHAZ Financial Analyst/Grant Specialist will have to audit all the Fund Accountability Statements submitted by all sub-recipients before the next funding is approved and released.
- f. The Financial Analyst and the Program Officers will make periodic field visits through out the grant period to sub-recipients, CHI's and other FBO's directly funded by the Secretariat.
- g. Sub-Recipients will make periodic field visits through out the grant period to all the FBO's funded by them.

#### **9.4 Financial Reporting**

- a. Sub-recipients will be required to submit their financial reports (i.e. bank statement, FAS and bank reconciliation) using the CHAZ prescribed format fifteen days after the end of each month.
- b. The Financial Analyst/Grant Specialist will review the financial expenditure reports for accuracy and supporting documentation.
- c. In cases where no proper supporting documentation will be provided (such as original receipts), the Financial Analyst/Grant Specialist will contact the Recipient to obtain the missing documents.
- d. In instances of late submission of the report, the Financial Analyst/Grant Specialist will send out reminder letters to the sub-recipient requesting immediate submission of the delinquent report. Failure to submit will result in funding being withheld.

### **10. GRANT MONITORING**

#### **10.1 Technical Monitoring**

- a. Programmatic reports by sub-recipients will be prepared and submitted to the CHAZ Secretariat on a quarterly basis
- b. The CHAZ Program Officers will conduct technical monitoring visits throughout the grant period.
- c. Sub-recipients can request for training and other assistance during the technical monitoring visits by CHAZ Program Officers.
- d. Sub-recipients will be able to ask for monitoring visits from the CHAZ Secretariat at any time.
- e. Sub-recipients will provide technical support and training to all the FBO's funded by them.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## CHAZ GRANT MANUAL

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### 10. GRANT MONITORING (CONTINUED)

#### 10.2 Amendments to the Grant Agreement

- a. During the course of monitoring the activities, sub-recipient management and the CHAZ Program Officers may agree on the need to amend the grant agreement. The reasons for proposed amendments are:
  - i. The activity may not be completed within the period of the grant.
  - ii. The budget may prove to be insufficient to carry out the intended activities.
  - iii. Due to unforeseen circumstances, the nature of the activity may change.
- b. If one or more of the above factors under (a) occurs the sub-recipient will have to inform the CHAZ Director of Programmes.
- c. If all parties agree that the grant should be amended, the sub-recipient will prepare an official request in writing to CHAZ requesting the amendment, and send it to the Director of Programmes.
- d. The request should include details of the requested change, justification for the change, and in the case of budgetary or activity changes, a revised budget showing the old budget, proposed change and new budget line item.

### 11. GRANT EVALUATION

- a. CHAZ and the sub-recipients will arrange for the evaluation of the grant project.
- b. The evaluations will be tailored specifically for each grant and will assess the overall success of the activities performed during the grant period, impact on participants, impact on the general environment and replicability of activities to other areas, if recommended.
- c. The results of the activity evaluation will determine whether the funds will be disbursed to the sub-recipient in future.

### 12. GRANT CLOSEOUT

- a. Grants should be closed out within 90 days following the end of the grant. Annex 6 gives guidelines of a Completion Report to be filled.
- b. Sub-recipients should submit to CHAZ all financial, technical and any other reports required by the grant agreement.
- c. In addition, the sub-recipient should submit to the CHAZ Secretariat a final inventory list listing all non-expendable purchases bought under the agreement.
- d. CHAZ will ensure that all advances are liquidated, including the reimbursement of any unused cash, and that all expenses have been properly documented.

**12. GRANT CLOSEOUT (CONTINUED)**

- e. When all other obligations of the sub-recipient have been met, CHAZ will issue a formal letter transferring definitively title of all non-expendable purchases, as provided for on the final inventory list.
- f. All handover procedures will be completed only after the completion of the final external audit of the sub-recipient as directed by the CHAZ Secretariat.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### CHAZ Grant Agreement

This agreement is made and entered into by and between the  
**Churches Health Association of Zambia** (hereinafter referred to as CHAZ)

An umbrella Faith Based Organisation (FBO) located

At

Ben Bella Road, P.O. Box 34511, Lusaka

And

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A Zambian FBO hereinafter referred to as the Recipient

Address (Physical & Postal): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Province: \_\_\_\_\_ District: \_\_\_\_\_

Programme Coverage: \_\_\_\_\_ HIV/AIDS \_\_\_\_\_ TB \_\_\_\_\_ Malaria \_\_\_\_\_ Other

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### Section 1 Purpose of the Agreement

This agreement between CHAZ, a non-profit organization established under the laws of Zambia and the Recipient identified on the face sheet of this Agreement defines the terms and conditions under which CHAZ will provide funding to the Recipient to implement and oversee the implementation of the Program whose title is set forth on the face sheet of this Agreement.

### Section 2 Fiscal Terms

- A) The total budget approved by **CHAZ** to this activity is ZMK \_\_\_\_\_ and will cover the period commencing \_\_\_\_\_ 20\_\_ and ending \_\_\_\_\_ 20\_\_.
- B) No essential deviations in the project shall be undertaken until consultation between **CHAZ** and the Recipient have resulted in an agreement on those things. Deviations of more than 10% in cost shall be considered an essential deviation.
- C) All expenditures paid with funds provided by this Agreement must be incurred for authorised activities that take place or commence during the period of the Agreement. Payment towards previously incurred debt or obligation shall not be effected without prior written approval by CHAZ.
- D) Any interest or other earnings on funds disbursed by CHAZ to the Recipient under this Agreement shall be used for Program purposes, unless CHAZ agrees otherwise in writing.
- E) Expenditures for entertainment, gifts, gratuities, donations, alcoholic beverages, fines or penalties are not allowable under this grant.
- F) The Recipient agrees that it shall keep separate accounting records with respect to grant funds. These separate records shall fully disclose the amount and the disposition of the funds granted under the terms of this Agreement and facilitate an effective audit.
- G) For all the finances provided under this agreement, the Recipient is required to submit original receipts for all expenditures together with an expenditure statement categorized by approved budget headings and a narrative report.
- H) The CHAZ funding for the Program is limited to the Grant. Each disbursement of Grant funds shall be subject to the availability of funds to CHAZ for such purpose at the time of the disbursement. Unless CHAZ agrees otherwise in writing, the Grant may be used for Program expenditures beginning from the 'Program Starting Date'. If the Recipient chooses to continue Program activities after the CHAZ funding has been exhausted, the Recipient understands that CHAZ makes no commitment beyond the amounts available under the terms of this Agreement.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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- I) If the Recipient does not submit all financial reports to CHAZ for any reason, the Recipient will be responsible for reimbursing CHAZ the total cost of the program. If these costs are not fully recovered within one month's time of CHAZ requesting the costs, CHAZ will not provide any additional support to the Recipient, until these costs are recovered.
- J) The details of the Bank account of the Recipient are:
- Name of Account \_\_\_\_\_
- Account No \_\_\_\_\_
- Name of Bank/Branch \_\_\_\_\_
- Responsible contact person \_\_\_\_\_
- Contact address: Tel \_\_\_\_\_ P.O. Box \_\_\_\_\_ Town \_\_\_\_\_
- Signatories \_\_\_\_\_
- K) CHAZ shall make all payments from this grant in the name of the Recipient only.
- L) Original receipts and financial reports should be submitted to CHAZ using the prescribed format by the due date. Similarly CHAZ requires that the Recipient submit a Fund Accountability Statement, bank reconciliation and an original copy of the bank statement on a monthly basis.
- L) CHAZ shall require the Recipient to submit a quarterly narrative report on the implementation of this grant. CHAZ and the Recipient estimate that the proposal submitted by the Recipient will be completed by the 'Proposal Completion Date'. The Program shall be subject to an assessment at the discretion of CHAZ. Unless CHAZ agrees otherwise in writing, CHAZ will not authorise disbursement of the grant after the 'Program Ending Date' if CHAZ determines in its sole discretion that satisfactory progress has not been made in implementing the Program before the Program Ending Date or that the funds are not available for such disbursement.
- M) Supplies provided by CHAZ cannot be sold or exchanged without the prior written consent of CHAZ. Title to all property and supplies acquired using the Grant money shall be vested with CHAZ until and unless CHAZ so decides to pass on title in writing to the Recipient.
- N) In carrying out the purpose of this agreement CHAZ shall be responsible for the release of the grant consistent with the objectives and the work-plan.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### **Section 3 Grant Period**

- A) The Period of this agreement shall be from \_\_\_\_\_ through \_\_\_\_\_ unless otherwise amended in writing by the mutual consent of the parties to this Agreement.
- B) If the implementation of this approved program/activity is not started within thirty days after the date of signing this Agreement by both parties, CHAZ reserves the right to terminate the agreement.

### **Section 4 Disbursements**

- A) The Recipient shall submit to CHAZ requests for disbursement of funds from the Grant, in form and substance satisfactory to CHAZ. Requests for disbursement will be signed by the person or persons authorised by the Recipient to do so. Upon CHAZ's approval of a request for disbursement, CHAZ will advise its Bank to transfer the amount approved by CHAZ into the account specified in this Agreement.
- B) The amount approved for disbursement will be based on achievement of Program results and the expected cash flow needs of CHAZ. CHAZ, at any time, may approve for disbursement an amount less than the disbursement request if CHAZ concludes that the full disbursement request is not justified.
- C) Each disbursement under the Grant is subject to the availability of funds to CHAZ for such disbursement.

### **Section 5 Audit and Records**

- A) The Recipient shall maintain accounting books, records, documents and other evidence relating to the Agreement, adequate to show, without limitation, all costs incurred by the Recipient under the Agreement and the overall progress toward completion of the Program. The recipient shall maintain Agreement books and records in accordance with generally accepted international accounting standards. Agreement books and records shall be maintained for at least three years after the date of the last disbursement under this Agreement or such longer period, if any, required to resolve any claims or audit findings.
- B) CHAZ reserves the right, on its own or through any third party appointed by it, to perform the audits required under this Agreement utilising Grant funds or other resources available for this purpose, to conduct a financial review, or otherwise to ensure the accountability of Grant funds.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### **Section 5                      Audit and Records (continued)**

- C) The Recipient shall afford authorised representatives of CHAZ, its agents or any third party of which CHAZ notifies the Recipient the opportunity at all reasonable times to inspect activities financed by the Grant, utilization of goods and services financed by the Grant, and Agreement books and records.
- D) Should the audit/financial review disclose any material instances of non-compliance or indication of fraud, abuse or illegal acts, such information shall be included in the report with appropriate recommendations.
- J) Any disallowed and/or questioned costs arising from the conduct of the above-described audit/financial review of the Recipient and its subcontractors shall be the responsibility of the Recipient.

### **Section 6                      Refunds**

- A) In case of any disbursement of the Grant that is not made or used in accordance with this Agreement, or that finances goods or services that are not used in accordance with this Agreement, CHAZ, notwithstanding the availability or exercise of any other remedies under this Agreement, may require the Recipient to refund the amount of such disbursement to CHAZ within thirty (30) days after the Recipient receives CHAZ's request for a refund.
- B) If the Recipient's failure to comply with any of its obligations under this Agreement has the result that goods or services financed or supported by the Grant are not used in accordance with this Agreement, CHAZ may require the Recipient to refund all or any part of the amount of the disbursements under this Agreement for or in connection with such goods and services within thirty (30) days after receipt of a request therefore.
- C) The right under paragraphs (A) and (B) of this Article to require a refund of a disbursement will continue, notwithstanding any other provision of this Agreement, for three years from the date of the last disbursement under this Agreement.

### **Section 7                      Other Receiving FBOs**

- A) From time to time, the Recipient may, under this agreement, provide funding to other FBOs to carry out activities contemplated under the Program. The Recipient will be responsible for all resources it receives and for the results it and the other FBOs are to accomplish. The Recipient shall ensure that all agreements with other FBOs (if any) are in compliance with this Agreement. The Recipient shall furnish CHAZ a copy of the form or forms of agreement, acceptable to CHAZ that the Recipient will use with other receiving FBOs.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### **Section 7 Other Receiving FBOs (continued)**

- B) The Recipient's accountability and reporting shall encompass the funds disbursed to all other FBOs and to the activities other FBOs carry out using Program funds. The Recipient shall have systems in place, acceptable to CHAZ, to assess the capacity of other FBOs, monitor their performance, and assure regular reporting from them in accordance with this Agreement. The Recipient shall comply with such systems to assess other FBOs and supervise and monitor their activities and reporting under the Program.
- C) With respect to other FBOs or third parties that enter into agreements with the Recipient, the Recipient shall remain solely responsible for the actions of such FBOs or other third parties and shall not, under any circumstances, engage the responsibility of CHAZ.

### **Section 8 Reporting**

- A) Unless CHAZ advises the Recipient otherwise in writing, the Recipient shall furnish to CHAZ the reports specified in paragraph (B) below at the interval indicated or such other interval as CHAZ may specify in writing. The reports shall cover all funds and activities financed under the Grant. In addition, the Recipient shall furnish to CHAZ such other information and reports at such times as CHAZ may request. CHAZ will from time to time specify the guidelines for the contents and formats of the reports.

#### **B) Required Reports**

##### **(1) Financial Reports**

Not later than 15 days after the end of each month of the funding period, the Recipient shall submit to CHAZ, in the form and substance satisfactory to CHAZ, a periodic financial report on the program. The report shall reflect the financial activity during the month in question and cumulatively from the beginning of the program until the end of the reporting period, using the line items set forth in the approved program budget. The Recipient shall explain in the report any variance between the planned and actual achievements for the period in question. The following reports shall be submitted as part of the financial report:

Fund Accountability Statement;  
Original copies of receipts and invoices and any other relevant supporting documentation;  
Copy of the bank statement;  
Copy of the cashbook; and  
Variance analysis report.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### (2) Programmatic Reports

Not later than 15 days after the end of each quarter of the funding period, the Recipient shall submit to CHAZ, in the form and substance satisfactory to CHAZ, a quarterly programmatic describing the progress towards achieving the agreed upon results. The Recipient shall explain in the report any variance between the planned and actual achievements for the period in question.

### **Section 9 Utilisation of Goods and Services**

All goods and services financed with Grant funds will, unless otherwise agreed in writing by CHAZ, be devoted to the Program until the completion or termination of this Agreement. And thereafter may only be used to further the objectives of this Agreement or as CHAZ may direct in Implementation Letters.

### **Section 10 Effective Period and Amendment**

No modification of this Agreement shall be valid unless in writing and signed by an authorised representative of CHAZ and the Recipient.

### **Section 11 Termination and Suspension**

CHAZ may terminate this agreement in whole or in part upon giving the Recipient thirty days written notice. CHAZ may suspend this agreement in whole or in part upon giving the Recipient written notice. Any portion of this Agreement that is not terminated or suspended shall remain in full force and affect.

Upon full termination or suspension of this Agreement, CHAZ may, at CHAZ's expense, direct that title to all goods financed under the grant, be transferred to CHAZ if the goods are in a deliverable state.

### **Section 12 Novation, transfer of Recipient responsibilities under this agreement**

If at any time, either CHAZ or the Recipient concludes that the Recipient is not able to perform the role as Recipient and to carry out its responsibilities under this Agreement or if, for whatever reason, CHAZ and the Recipient wish to transfer some or all of the responsibilities of the Recipient to another entity that is able and willing to accept those responsibilities, then CHAZ and the Recipient may agree that the new Recipient may be substituted for the Recipient in this agreement.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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### **Section 13 Indemnification**

The Recipient assumes liability for all loss, damage, cost and expense arising out of or in any way connected with Recipient's actions in connection with the operation or performance of, or the failure to perform, any duty, obligation, or activity on the part of the Recipient or its agents in connection with its responsibilities as specified in this agreement. Recipient further agrees to defend, indemnify and hold CHAZ harmless from all loss, damage, cost and expense, including all reasonable legal fees incurred by CHAZ or its agents arising from or in any way connected with Recipients actions in connection with the operation or performance of, or failure to perform, any duty, obligation, or activity on the part of the Recipient or its agents.

### **Section 14 Non-waiver of Remedies**

No delay in exercising any right or remedy under this Agreement will be construed as a waiver of such right or remedy.

### **Section 15 Successors and Assignees**

This Agreement shall be binding on the successors and assignees of the Recipient and the Agreement shall be deemed to include the Recipient's successors and assignees. However, nothing in this Agreement shall permit any assignment without the prior written approval of CHAZ.

### **Section 16 Limits of CHAZ Liability**

- A) CHAZ shall be responsible only for performing the obligations specifically set forth in this Agreement. Except for those obligations, CHAZ shall have no liability to the Recipient or any other person or entity as a result of this Agreement or the implementation of the Program. Any financial or other liability that may arise as a result of the implementation of the Program shall be the responsibility of the Recipient.
  
- C) The Recipient undertakes the Program on its own behalf and not on behalf of CHAZ. This Agreement and the Grant shall in no way be construed as creating the relationship of principal and agent, of partnership in law or of joint venture as between CHAZ and the Recipient or any other person involved in the Program. CHAZ assumes no liability for any loss or damage to any person or property arising from the Program.

### **Section 17 Conflicts of Interest; Anti-corruption**

- A) The Recipient shall maintain standards of conduct that shall govern the performance of persons affiliated with the Recipient (for example directors, officers, employees, or agents) engaged in the award and administration of contracts, grants, or other benefits using Grant funds. No person affiliated with the Recipient shall participate in the

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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selection, award or administration of a contract, grant or other benefit or transaction funded by the grant, in which the person, members of the person's immediate family or his or her business partners, or organization controlled by or substantially involving such person, has or have a financial interest. Nor shall any person affiliated with the Recipient participate in such transactions involving organisations or entities with which or whom that person is negotiating or has any arrangement concerning prospective employment. Persons affiliated with the Recipient shall not solicit gratuities, favours or gifts from contractors or potential contractors.

- B) If the Recipient has knowledge or becomes aware of any actual, apparent or potential conflict between the financial interests of any person affiliated with the Recipient and the person's duties with respect to the implementation of the Program, the Recipient shall immediately disclose the actual, apparent or potential conflict of interest directly to CHAZ.
- C) CHAZ and the Recipient shall neither offer a third person nor seek, accept or be promised directly or indirectly for themselves or for another person or entity any gift or benefit that would or could be construed as an illegal or corrupt practice.

### **Section 18                      Suspension, Ineligibility and Voluntary Exclusion**

In accepting this Agreement the Recipient certifies that neither it nor its principals is presently debarred, suspended, proposed by debarment, declared ineligible, or voluntarily excluded from participation in this Agreement by any Zambian Government department or agency.

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 1: GRANT AGREEMENT

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**IN WITNESS WHEREOF**, the parties hereto have executed this agreement as of the dates indicated herein below:

### **AUTHORIZED REPRESENTATIVES**

#### **On behalf of CHAZ**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

#### **On behalf of RECIPIENT:**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

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This questionnaire is used to verify the organisation's ability to comply with the requirements associated with donor agency funding. The information requested in the questionnaire is necessary for CHAZ to determine the organisation's preparedness for reporting and administering donor agency funding. In addition, it is used to assess what, if any, guidance maybe required of CHAZ. CHAZ hereby requests the co-operation of the organisation in completing the form.

### SECTION A: GENERAL INFORMATION

1. Name of Organisation: \_\_\_\_\_

2. Type of religion: Christian  Muslim  Bahai   
Hindu  Other (specify) \_\_\_\_\_

3. Address (Physical & Postal): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

5. Email: \_\_\_\_\_

6. Province: \_\_\_\_\_ District: \_\_\_\_\_

7. Year when Registered: \_\_\_\_\_ Registration Certificate No. \_\_\_\_\_

8. Has the organisation complied with all legal requirements since inception?  
(inquire if management is aware of the laws guiding its operations) Yes  No

### SECTION B: MANAGEMENT

9. Does the organisation have a Management Board? Yes  No

10. How often does the Board meet? (Provide minutes of the Board Meetings)

Quarterly  Semi-annually  Annually

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

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### SECTION B: MANAGEMENT (Continued)

11. If the answer to (9) above is YES, detail below the names and positions of the members of the Board. Also indicate the organisation where each member comes from:

Name	Position	Organisation

12. List below the names of the management staff and their positions:

Name	Position

13. Has there been a change in management staff in the past 12 months? Yes  No

14. If the answer to (13) above is YES, give reasons for the change:

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# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

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### SECTION C: DONOR EXPERIENCE

15. Does the organisation receive funding for other projects? Yes  No

16. If the answer to (15) above is YES, list the names of the donors below:

Name of donor	Contract period	Contract value

17. Has the organisation suffered termination of the contract with any donor in the past 12 months? Yes  No

18. If the answer to (17) above is YES, give reasons for the termination?

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### SECTION D: FINANCIAL INFORMATION

19. Does the organisation have an established accounting function? Yes  No

20. What is the number of staff in the accounting department?

21. Does the organisation maintain the following?

- a) Bank account (s)? Yes  No
- b) If the answer to (a) above is YES, indicate the number of bank accounts being operated currently.
- b) Cash book? Yes  No
- c) General ledger? Yes  No
- d) Payment vouchers? Yes  No

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

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### SECTION D: FINANCIAL INFORMATION (Continued)

22. Does the organisation prepare bank reconciliation statements on a monthly basis or occasionally? Monthly  Occasionally

23. Do you have one or more signatories to the bank account (s)? One  More

24. Do staff in the accounting department possess any qualification in accounting? Yes No

25. Describe, in brief, the mechanism/procedures established (including approval process) to “certify” and document expenditures for the project and to ensure segregation of duties.

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26. Is the project accounting system computerised or manual? Computerised  manual

27. Has the organisation had any problems in meeting the reporting deadlines of donors in the past? Yes  No

28. What internal/external financial reports does the organisation prepare? List below.

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29. Does the organisation have an inventory control system? Yes  No

30. Have any equipment purchased to date been recorded to inventory control records? Yes  No

31. Is the organisation regularly audited? Yes  No

32. Has the organisation been audited in the last 1 year? Yes  No

33. If yes, have the auditor’s findings been implemented? Yes  No

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

### SECTION E: PROGRAMMATIC INFORMATION

#### 34. HIV/AIDS required skills and knowledge

SKILLS	Guide questions for person administering assessment	1	2	3	COMMENTS
Gently and politely probe for evidence of the skills	Do the staff have programme management skills (i.e. planning, implementing, monitoring and evaluation). Ask to see reports, work plans, monitoring and evaluation plans				
	Do the staff have report writing skills? Ask to see any reports				
	Do the staff have skills in HIV-related training?				
	Do the staff have skills or experience in facilitation?				
	Is the staff able to use computers?				
	Do the staff have skills or experience in using participatory methodologies?				

Probe for understanding of key issues in HIV/AIDS	Guide questions for person administering assessment	1	2	3	COMMENTS
	Do the staff understand key issues in relation to HIV/AIDS transmission and prevention? (i.e. understanding of underlying and immediate factors for transmission and understanding of proven-effective prevention strategies)				
	Do the staff understand the key issues in relation to HIV/AIDS care and support?				
	Does the organization understand the links between prevention and care?				

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

Providing technical support to other FBOs. Probe for evidence of networking	Guide questions for person administering assessment	1	2	3	COMMENTS
	Does organization have experience and/or potential for collaboration with other stakeholders in the district (e.g. District Task Force meetings, joint implementation etc)				
	Does the organization have experience and/or potential of playing the coordination function?				
	Does organization offer support to other organization? Give examples				

Probe for the HIV/AIDS technical focus and tick next to appropriate line	Care and support	
	HIV prevention-youth	
	HIV prevention-other groups	
	Stigma and discrimination	
	VCT	
	PMTCT	
	OVC	

Probe for tangible programmatic achievements since project started implementing activities	Does the FBO have tangible evidence documenting key programmatic achievements since its establishment?	1	2	3	COMMENTS

35. Which HIV/AIDS activities are implemented at the organisation:

- Information/Education/Communication (IEC)
- Behavioural Change Campaign
- STI Diagnosis and Training
- Prevention of Mother to Child Transmission (PMTCT)
- People Living With HIV/AIDS (PLWHA) Support
- Orphaned and Vulnerable Children (OVC) support

# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

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- Home Based Care (HBC)
- Anti-retroviral Treatment (ART)
- Voluntary Counselling and Testing (VCT)

### TUBERCULOSIS

36. Does the organisation have a TB focal point person? Yes  No
37. Has the TB focal point person had any training in TB? Yes  No
38. How long has the organisation been involved in DOTS implementation?
39. How many TB patients does the organisation have on the TB register?
40. Does the organisation keep the following documents?
- TB register Yes  No
- TB reports Yes  No
- Any other documents (Specify)
41. Which TB activities are implemented at your organisation:
- DOTS training and implementation
- Behavioural Change Communication
- Highly Active Anti-retroviral Treatment (HAART)
- Income Generating Activities (IGA)
42. Describe the relationship with other local health centres/DHMT
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

### MALARIA

43. Do you have a focal point person for Malaria? Yes  No
44. Has the Malaria focal point person had any training in Malaria? Yes  No
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# CHURCHES HEALTH ASSOCIATION OF ZAMBIA

## APPENDIX 2: PRE-AWARD ASSESSMENT CHECKLIST

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45. How long have you been involved in Malaria?

(a) 0-3 years    (b) 4- 9 years    (c) over 9 years

46. Which Malaria activities are implemented at your organisation:

Health Workers Training

Behavioural Change Communication

Insecticide Treated Nets (ITN) Distribution

Case management and laboratory diagnosis

Indoor house residual spraying

Community based malaria prevention and control