

## Grant Application Guidelines (Grants Cycle 1)

### 1.1 BACKGROUND

Yayasan Hasanah's ("Hasanah") vision is to become a **leading foundation that promotes Malaysia's global sustainability through solutions that empower communities, encourage social inclusivity and improve the local environment** supported by its **five focus areas (education; community development; environment; arts, heritage and culture; and knowledge)** and **horizontal** initiatives of **capacity building, social enterprise and public spaces**. These focus areas are anchored to Hasanah's core foundations of **long-term nation building**; and built on Hasanah's commitment to stakeholders in upholding the principles of *Transparency, Innovation, Empowerment, and Inclusiveness* in the work that we do.

Hasanah does not work alone. We work through an ecosystem of champions that include our portfolio companies, partners, civil societies, social enterprises, government and regulatory agencies and the community, for a cohesive and holistic impact. Our champion-ecosystem is intentionally local-partner based. This is part of our strategy to sustain and strengthen the local community's capacity, ownership and leadership, and to ensure solutions are customised and relevant to local needs.

We emphasise an operational model of equal partnership. Our role is to complement and supplement the passion and soul of our partners, and build their capacity to strategise, lead, and open doors to policy-making in the affected areas.

In 2016, Hasanah supported interventions that are not only transformative and catalytic, but which also have meaningful social impact on both the nation and the communities it served. Achieving significant and multi-faceted social impact however requires a longer time horizon.

In order for Hasanah to focus its finite resources towards achieving a transformational and measurable social impact, Hasanah's priorities have shifted from short-term results at the output level to long-term results at the impact level to which can be measured collectively within each focus areas as well as at the foundation level. This shift will also be cascaded to all its current and potential partners so that the activities and projects they implement are also measurable, impactful and aligned to Hasanah's aspirations.

We welcome proposals that are clearly aligned with Hasanah's mandate, and which supports any of the five focus areas and the three horizontals. Other considerations include scalability and replicability of the programme, how its impact can transform or catalyse further progress in the affected issue or area, as well as the sustainability of the programme.

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### 1.2 GOALS OF HASANAH'S FOCUS AREAS

The goals to be achieved in each of the above mentioned focus areas are as follows:

#### 1. Arts, Heritage and Culture (“AHC”)

- Increase capacities of civil society organisations (“CSOs”) to engage in AHC advocacy initiatives focused on the conservation and promotion of AHC assets
- Create mechanisms that invest in the development of high quality AHC products and services
- Promote AHC awareness in early age education
- Raise the importance of AHC in national planning and policy development

#### 2. Community Development

- Develop and implement social and economic poverty alleviation programmes that address the needs of low income individuals and households throughout Malaysia
- Enhance the quality, inclusivity and availability of social services among vulnerable and at risk communities
- Advocate for sustainable economic and social development policies that support and protect vulnerable and at risk individuals and households

#### 3. Education

- School Management: Develop and implement comprehensive school-transformation models in primary and secondary schools towards holistic student outcomes
- Talent Development: Facilitate upward social mobility through human capital development
- Community Involvement: Increase active involvement of relevant stakeholders in providing support to students’ development in primary, secondary and tertiary levels

#### 4. Environment

- Malaysia’s capacity and capability in conserving rainforests, freshwater and marine ecosystem from further degradation is strengthened
- Malaysia’s green growth development is embedded in practice towards a low carbon pathway and sustainability is enhanced
- Strategic environment initiatives successfully implemented and monitored through advocacy and models of cross-sectoral cooperation in the country

#### 5. Knowledge

- Promote active cooperation between Hasanah’s partners and relevant research related stakeholders in five focus areas
- Support the active role and participation of CSOs in evidence based advocacy initiatives in five focus areas
- Improve knowledge sharing across the public sector, corporations and CSOs

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### 1.3 GUIDING RULES

The following section sets out the criteria for the submission, selection and implementation of the initiatives supported by Hasanah.

#### *1.3.1. Eligible applicants*

##### Applicant

In order to be eligible for a grant, the applicant must:

- be **legally and locally registered with relevant authorities (Registrar of Societies or the Companies Commission) in Malaysia or a registered company under the Companies Act 1965 for social enterprises** (in selected cases, grants may be channelled to organisations registered in foreign jurisdictions but carry out programmes in Malaysia and impacting Malaysia);
- **be directly responsible** for the preparation and management of the proposal and **not be acting as an intermediary**;
- have been **formed and registered at least two years prior to being considered for Hasanah's grant award** – if organisation was previously established under a different name and was operational for at least or more than two years under said name, please provide evidence of this;
- produce **the two most recent audited financial statements to being considered for Hasanah's grant award**,
- make public of its annual financial reports either electronically or through physical copies;
- have an internal audit process for its annual audit.

In addition to the above referred categories for applicants, the following may also be eligible:

- social enterprises – defined as organisations or registered companies whose primary mission is to support a social cause, and have a revenue source that is able to sustain their mission
- public institutions and consultancy entities as co-applicants with CSOs as the core applicant

##### Other related eligibility criteria

- The applicant may be a co-applicant in another application at the same time

#### *1.3.2. Eligible Programmes*

Types of activities which may be supported under this Grant Cycle:

##### *Inclusivity*

- Activities that target and address the needs of the bottom 40% of underserved Malaysian community
- Activities that promote social inclusivity, economic empowerment and building of human capital

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- Activities that target a new beneficiary group or innovative solutions to existing social issues

### *Service delivery*

- Educational and training activities relevant to Hasanah's focus areas
- Provision of social services, counselling services and legal protection

### *Advocacy and policy*

- Policy monitoring projects, including preparation and presentation of policy analyses and reports relevant to Hasanah's focus areas
- Advocacy initiatives focusing on issues relevant to Hasanah's focus areas
- Local campaigns, education of citizens and promotion of principles of transparency, good governance, citizens' participation in decision-making processes relevant to Hasanah's focus areas

### *Capacity building*

- In-house mentorship, training, pilot projects, aimed at strengthening the capacities of individuals, civil society organisations ("CSOs"), communities relevant to issues or problems at the local and national level in Hasanah's focus areas

### *Partnership development*

- Identifying and establishing active cooperation with relevant CSO networks, coalitions, think-tanks and individual organisations specialised in issues relevant to Hasanah's focus areas
- Networking and partnership building for the purpose of achieving a joint social and entrepreneurial activity

### *Other*

- Cultural events, performances, exhibitions and competitions that are aligned to Hasanah's focus areas and goals

### Other eligibility criteria:

- Proposed activities must demonstrate the ability to produce measurable outputs (short-term results), outcomes (mid-term results) and social impact (long-term results) in a selected focus area
- Applicant must demonstrate the ability of the proposed activities to become a sustained part of the community resources
- Applicant must demonstrate the ability of the proposed activities to be scaled up or expanded across the various regions within Malaysia and beneficiaries as well as ability to replicate the project
- Proposed activities should be catalytic in nature i.e. should create multi-faceted change in areas that promotes a better future for communities in Malaysia

### The following types of initiatives are non-eligible:

- Direct donations or grants to individuals
- Initiatives concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses; or for studies or training courses

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- Initiatives addressing health problems or any other that are not within Hasanah's focus areas
- Initiatives that support political campaigns
- Initiatives essentially focused on construction activities, purchase of equipment, purchase and/or renovation of building or offices for commercial purposes
- Initiatives aimed predominantly at charitable donations and profit making activities
- Initiatives which are already funded by another Hasanah's grant and undertaken before the date of contract signature

### *1.3.3. Eligibility of costs*

Hasanah will only support 'eligible costs'. The categories of costs that are non-eligible are indicated below. It is in the applicant's interest to provide a realistic and cost-effective budget.

#### Ineligible costs

The following costs are not eligible:

- customs and import duties, or any other charges
- purchase or leasing of land and existing buildings
- fines, financial penalties and expenses of litigation
- second-hand equipment
- bank charges, costs of guarantees and similar charges
- conversion costs, charges and exchange losses, as well as other purely financial expenses
- contribution in kind
- depreciation costs
- debts and debt service charges
- provision for losses or potential future liabilities
- credits to third parties
- salary costs of the personnel of national or public administration

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### 1.4 HOW TO APPLY

The following are application phases:

#### 1) **Phase One: Pre-Selection via Concept Note**

Applications must be submitted in accordance with the Concept Note instructions. Applicants can apply in both English or Bahasa Malaysia.

In the Concept Note, applicants need only provide an estimate of the amount requested from Hasanah. Only applicants who are invited to submit a full application in the second phase will be required to present a detailed budget.

Any error or major discrepancy related to the instructions set out in the Concept Note may lead to the rejection of the Concept Note, and thus eliminate the application from the process.

Clarification will only be requested when information provided is unclear and prevents Hasanah from conducting an objective assessment.

Please note that only the Concept Note will be evaluated at Phase One. It is therefore of utmost importance that this document contains all relevant information concerning the proposal. No additional annexes should be sent. An incomplete Concept Note will be rejected.

Please get in touch with our team at [grant.application@hasanah.org.my](mailto:grant.application@hasanah.org.my) for further details on deadlines and to obtain the Concept Note application form.

#### 2) **Phase Two: Pre-selected applicants to submit Full Grant Application Form**

Pre-selected applicants are invited to submit a full application following the pre-selection of their Concept Note. The full application must be done using the Full Grant Application Form that will be made available to successful Concept Notes applications.

Applicants should keep strictly to the format of the Full Grant Application Form and submit the application in the correct order. Full applications must be in English or Bahasa Malaysia.

Please complete the Full Grant Application Form carefully and as clearly as possible. Any major inconsistency in the Full Grant Application Form may lead to a rejection of the application.

Clarification will only be requested when information provided is unclear and thus prevents Hasanah from conducting an objective assessment.

Please note that:

- The elements outlined in the Concept Note cannot be modified by the applicant in the Full Grant Application Form. Budget items may vary less than 15%.
- Only the completed Full Grant Application Form and the completed annexes, together with accompanying relevant documentation, as listed under Checklist of

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Appendices in the Full Grant Application Form, will be transmitted to the evaluators of the proposal. It is therefore of utmost importance that these documents contain all relevant information concerning the proposal. No supplementary annexes, other than documentation requested, should be sent. Please refer to the Checklist of Appendices in the Full Grant Application Form.

The deadline for the on-line submission of the **Full Grant Application (Phase Two)** will be informed to successful Concept Note applicants, upon completion of the Concept Note review.

To ensure equal treatment of applicants, Hasanah cannot give a prior opinion on the eligibility of applicants or a proposal.

### 1.5 EVALUATION AND SELECTION OF APPLICANTS

Grant applications will be examined and evaluated by the Hasanah Grant Committee. All proposals will be assessed according to the following steps and criteria.

If the evaluation of the application reveals that the proposed action does not meet the eligibility criteria stated in the paragraph 1.3, the application will be rejected on this sole basis.

#### Step 1: Administrative check and Concept Note evaluations

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will be automatically rejected.
- If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed initiatives.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation criteria are divided into headings and sub-headings. Each sub-heading will be given a score between 1 and 5 or 1-10 as below. Please refer to the Concept Note Evaluation Grid set out below, for details.

**Only Concept Notes with a score of at least 30 will be considered for pre-selection.**

#### **Scoring system 1 - 5:**

1 – poorly developed / below expectations, 2 – needs clarification / development, 3 – meets basic expectations, 4 – well developed / explained, 5 – great quality of answer / exceeds expectations

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### Scoring system 1 - 10:

1-2 - poorly developed / below expectations, 3-4 – needs clarification / development, 5-6 – meets basic expectations, 7-8 – well developed / explained, 9-10 – great quality of answer / exceeds expectations

Hasanah will send letters to all applicants informing them about results of the Concept Note evaluation, within 14 working days from the date of submission. Pre-selected applicants will subsequently be invited to submit the Full Grant Application.

### Concept Note Evaluation Grid (Cycle 1)

<b>1. Relevance of the project</b>		
1.1 How relevant is the project to the goals of Hasanah's Focus Areas and current YH scorecard? (Refer to 2.2 of the Concept Note submission; and Page 2 of the Grant Application Guidelines).	10	
1.2 Please evaluate the proposal based on the following: i) How clearly defined and strategically chosen are those involved (final beneficiaries, stakeholders)? ii) Have their needs been clearly described? iii) How will they directly benefit from the expected output(s) of this project? (Refer to 2.3 of the Concept Note submission).	10	
1.3 How does the project contribute to the achievement of positive change of any relevant programme / plan at the local, regional and/or national level? (Refer to 2.4 of the Concept Note submission).	5	
1.4 Does the proposal contain specific added value elements, such as the promotion or consolidation of public-private partnerships, innovation and best practice, or other cross-cutting issues such as environmental issues, promotion of gender equality and equal opportunities, needs of vulnerable, etc? (Refer to 2.5 of the Concept Note submission).	5	
	Sub-score	/30
<b>2. Design of the project</b>		
2.1 Please evaluate the following aspects of the design of the project: 1) Does the applicant have advanced knowledge of the problems involved? 2) Does the project address the identified issues appropriately? 3) Are the activities proposed directly linked to the expected outputs of the project?	5	
2.2 Is the project feasible and consistent in relation to the goals and	5	



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<i>expected outputs?</i>		
	Sub-score	<b>/10</b>
<b>3. Strength of organisation</b>		
<p>3.1. Please evaluate the proposal based on the following</p> <p>i) Does the organisation have the needed number of full-time / part-time employees and active volunteers to successfully implement the project?</p> <p>ii) Does the organisation have a good track record of addressing the issues presented in the project? (Refer to 1.2 of the Concept Note submission).</p>	5	
<p>3.2. Does the organisation have sufficient annual budget and number of donors that have been supporting them in the past two years? (Refer to 1.2 of the Concept Note submission).</p>	5	
	Sub-score	<b>/10</b>
<b>TOTAL SCORE</b>		<b>/50</b>

### Step 2: Evaluation of the Full Grant Application

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will be automatically rejected.
- The grant application satisfies all the criteria specified in the Checklist of Appendices in the Full Grant Application Form. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget, Implementation Plan and capacity of the applicants, will be evaluated using the evaluation criteria in the evaluation grid below.

**Only full grant applications with a score of at least 80 will be considered for approval, and will be subject to a Due Diligence visit by Hasanah, before a final decision is made.**

The evaluation criteria are divided into headings and sub-headings. Each sub-heading will be given a score between 1 and 5 or 1-10 as follows:

#### **Scoring system 1-5:**

1 – poorly developed / below expectations, 2 – needs clarification / development, 3 – meets basic expectations, 4 – well developed / explained, 5 – great quality of answer / exceeds expectations

#### **Scoring system 1-10:**

1-2 - poorly developed / below expectations, 3-4 – needs clarification / development, 5-6 – meets basic expectations, 7-8 – well developed / explained, 9-10 – great quality of answer / exceeds expectations

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### Full Grant Application Evaluation Grid (Cycle 1)

<p><b>1. Operational and financial capacity*</b></p> <p><i>*Note: If the total score for this section is less than 12 points, the application will be rejected. If the score for at least one of the sub-sections under this section (i.e. 1.1 – 1.3) is “1”, the application will also be rejected. There is no need to continue with the evaluation.</i></p>		
<p>1.1 Does applicant have sufficient management capacity i.e. relevant staff (including senior management / full-time / part-time staff and volunteers)?</p>	5	
<p>1.2 Please evaluate proposal based on the following:</p> <p>i) Does applicant adequately present the involvement of relevant stakeholders in the implementation of project activities?</p> <p>ii) If the location of the project differs from the location of the organisation’s HQ, please evaluate applicant’s capacity to implement this project (e.g. cooperation with local affiliates in project location / volunteers in project location / satellite offices in project location). (Refer to Summary table on Page 1 of this evaluation grid for location of organisation’s HQ).</p>	10	
<p>1.3 Does applicant have sufficient experience in managing grants of similar amounts as requested?</p>	5	
	Sub-score	/20
<p><b>2 Relevance of the project</b></p>		
<p>Score transferred from the Concept Note evaluation (CN score from Programme + CN Score from Pillar / 2 x 0.6)</p>		
	Sub-score	/30
<p><b>3 Effectiveness and feasibility of the project</b></p>		
<p>3.1 Are the activities proposed well-described, follow a logical sequence, appropriate, and consistent with the expected results? Refer to 2.3 of the FGA submission.</p>	5	
<p>3.2 Does the Implementation Plan reflect the proposed project activities? Is it feasible? Refer to Annex C.</p>	5	
<p>3.3 Does the proposal contain well developed M&amp;E activities and relevant indicators? Refer to 2.4 of the FGA submission.</p>	5	
<p>3.4 Does the proposal provide a list of potential risk and</p>	5	

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<i>mitigation measures? Refer to 2.6 of the FGA submission.</i>		
	Sub-score	<b>/20</b>
<b>4 Sustainability of the project</b>		
4.1 <i>Is the project likely to have a positive tangible impact on its final beneficiaries?</i>	5	
4.2 <i>Is the project likely to have multiplier effects? (Including scope for replication, extension and information sharing.)</i>	5	
4.3 <i>Does the proposal adequately address the following aspects of project sustainability?</i> <ul style="list-style-type: none"> <li>• <i>Financial – how will the project activities be financed after Hasanah’s funding ends? Please list potential fundraising activities.</i></li> <li>• <i>Institutional – how will the organisation’s internal and/or external resources put in place during project implementation (human resource, established networks, etc) allow for the project activities to continue after the project ends?</i></li> <li>• <i>At policy level, if applicable – how will this project contribute to relevant policy changes; e.g. will it lead to improved legislation, policies, practices, etc?</i></li> </ul>	5	
	Sub-score	<b>/15</b>
<b>5 Budget and cost effectiveness of the proposal</b> <i>*Note: Variance for itemised budget submitted at FGA stage should not be more than 15% in comparison to overall budget submitted at CN stage.</i>		
5.1 <i>Is the estimated cost for the project activities realistic (is it too high / too low)? Has a detailed breakdown of costs been provided?</i>	5	
5.2 <i>Is the ratio between the estimated costs and the expected results satisfactory? (Please indicate proposed revisions in budget if estimated cost vs estimated results are not satisfactory).</i>	10	
	Sub-score	<b>/15</b>
	<b>Total score</b>	<b>/100</b>

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### **1.6 NOTIFICATION OF HASANAH'S DECISION**

Applicants will be informed in writing of Hasanah's decision concerning their Full Grant Application, approximately eight weeks from the Full Grant Application submission date.

Following the decision to award a grant, applicants will be offered a contract based on Hasanah's Grant Agreement. By signing the Full Grant Application Form (Annex B of these Guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant agreement.