



**GRANTS MANAGEMENT  
PRESENTATION BY:  
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# Learning Objectives



**This session will endeavor to equip delegates with knowledge on**

1. Definitions
2. Roles and responsibilities
3. Grants Management Process
  - Pre-award
    - > Design and Plan (Getting Ready)
    - > Solicit, Evaluate and Select
    - > Assess Risk (Due Diligence)
  - Award
    - > Develop and negotiate sub-awards
  - Post-Award
    - > Start up
    - > Manage and monitor/ Monitoring Evaluation and Learning
    - > Close-out grant
4. Questions

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# Definitions



## **Grants Management:**

Grant management includes strategic planning, efficient grant design, program development and effective tracking, and having sufficient resources to smoothly manage the process.

## **Sub-awardee/ sub-grantee/ sub-recipient:**

Used interchangeably to mean the organization receiving the subaward.

## **Due diligence:**

Is the act of gathering and evaluating information to determine the potential subrecipients' ability to successfully comply with the terms and conditions of the subaward it enters into with an organization. The due diligence process also may identify weak areas where an organization can provide capacity-building support.

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# Roles and Responsibilities



## Project Director:

The Project's Director oversees and manages subaward program and staff to ensure that subawards are performing on time and within budget. S/he must ensure her/his staff have the appropriate skills and training to carry out subaward program responsibilities, and must provide leadership, technical direction and administrative oversight of subawards.

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# Roles and Responsibilities



## Project Grants Manager:

The Project Grants/Grants Manager is primarily responsible for the administrative oversight of the subawards program, and individual subrecipients, throughout the lifecycle of the subaward – from start up to close-out. The Project Grants Manager oversees and supports the subrecipient on compliance with the terms and conditions of its subaward, monitors compliance with donor requirements, issues modifications, and maintains the official subaward audit file. S/he is responsible for overseeing the timely completion of subawards by conducting the close-out process. S/he may be assigned as the subawards budget-holder by the Project's Director. S/he reports to the Project's Director, and updates and informs the Project's Director regarding the status of subawards under the project.

# Roles and Responsibilities



## Project Technical Lead:

The Technical Lead should be the project team technical manager that oversees the technical programmatic area(s) that the subrecipient's scope of work falls under. The technical lead is responsible for primary technical oversight and management of the day-to-day relationship with the subrecipient. S/he provides technical guidance, reviews and tracks performance reports, monitors performance, provides technical training (may include environmental training, as needed), identifies and resolves implementation issues and requests modification to subawards, when required.

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# Roles and Responsibilities



## **Project Monitoring Evaluation & Learning (MEL) Specialist:**

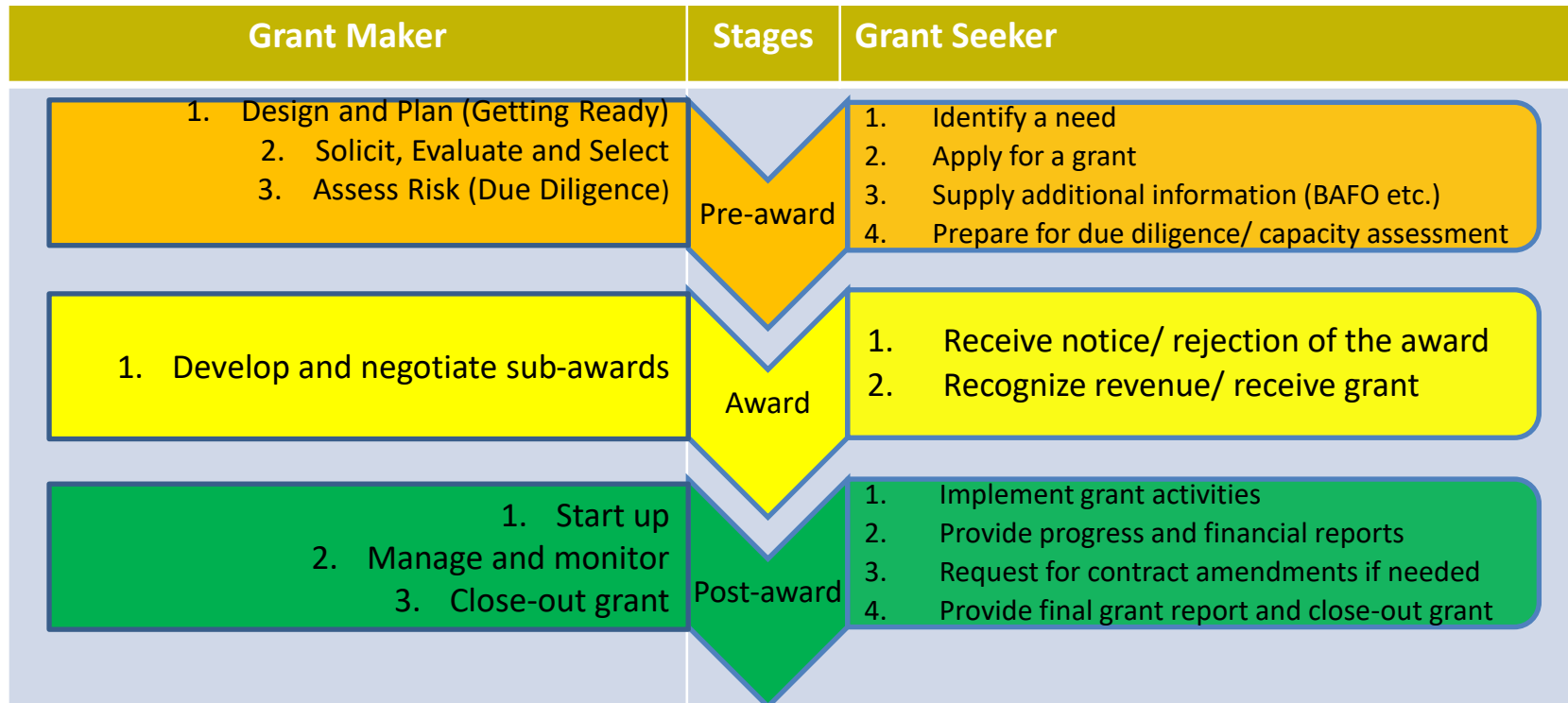
The Project MEL Specialist provides the tools, training and oversight to subrecipients on tracking, collecting and reporting on the subrecipient's performance, and on required indicators and targets. The MEL Specialist also provides guidance to subrecipients on Environmental Reporting requirements (EMMP), when required.

## **Project Accountant/ Accountant:**

This role may be assigned to the Grants Manager if on staff. The Project Accountant reviews financial reports and identifies and follows up on issues; issues payments to subrecipients and ensures that total payments do not exceed the subaward value; reviews revised budgets for modifications, as needed; and provides financial oversight and training to subrecipients.

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# Grants Management Process



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# Pre-award phase – Design and Plan



The Design and Plan phase of the subaward process usually occurs during project start up. It focuses on preparing the project team to implement subawards. It includes:

- **Subaward Component Plan**
- Project Work planning
- Determine Subaward Type;
  - Fixed-Amount Subawards
  - In-Kind Subaward
  - Cost-Reimbursement Subaward
- Identifying a Subaward Management Team
- Operational Set Up (Training, Subaward File Keeping System, Translating Subaward Documents)

# Pre-award phase – ‘Solicit, Evaluate and Select’



- Identify the Solicitation Type
  - Rolling/ periodic application commonly know as Annual Program Statements (APSs)
  - Requests for Applications (RFAs)
  - Non-Competitive Selection
- Determine Selection Criteria
- Draft the Solicitation / Document Lack of Competition
- Issue Solicitation and Collect Applications
- Form a Selection Committee and Avoid Conflict of Interest
- Evaluate Applications and Select Top Applicant(s)

# Pre-award phase – Assess Risk (Due Diligence)



It is important for organization to use a risk-based approach in managing and monitoring subrecipients.

- Collect Due Diligence Information (use a due diligence tool/ checklist)
- Evaluate Information to Determine Risk Level
- Make a Responsibility Determination
- Develop Plan to Mitigate Risk (High-Risk Subrecipients)

# Award phase – Develop and negotiate sub-awards



## This Phase includes:

- Obtaining donor approval (if required)
- Develop subaward documents
- Finalize SOW and Budget with subrecipient
- Subaward programmatic reporting templates
- Subaward financial reporting templates (in-kind and cost reimbursement ONLY)
- Donor-specific requirements
- Subaward negotiation memo
- Draft subaward document
- Internal review: approvals and signatories
- Signing of subaward by the organization and the subrecipient

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# Post - award phase – Start up



This phase prepares an organization and subrecipient staff to implement the subaward. It includes:

- Identifying Subaward Management Team
- Creating a Monitoring Plan
  - Develop Monitoring Plan and assign person(s) responsible for specific monitoring activities (all risk levels).
  - Fill in Monitoring Tracker with information on subrecipient's reporting requirements and the planned monitoring activities.
  - Identify how monitoring activities will be documented
- Schedule Subaward Start-up Orientation Meeting

# Post - award phase – Manage and monitor



## **Monitoring:**

Systematic and routine collection of information about project activities during implementation that describes what the project is doing. Monitoring usually focuses on measuring output indicators. The “Who?”, “What?”, “When?”, “Where?”, and “How?”

## **Evaluation:**

Objective assessment of what has changed in the target populations and by how much due to the project activities. Evaluations are usually performed through a series of data collection events and focus on measuring outcome and impact indicators.

## **Learning Approach to Monitoring and Evaluation:**

Integration of learning policies and procedures into M&E systems. This promotes continuous improvements to program design through adaptive and responsive decision-making. Some donors call its learning approach Collaborating, Learning and Adapting (CLA). It involves collaborating with beneficiaries and stakeholders to get feedback and data, learning from that information, and adapting its programs, based on the findings.

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# Post - award phase – Manage and monitor



## Performance Monitoring and Evaluation Plan (PMEP):

A document that defines the M&E system for a project. It includes the data needs and the processes and procedures for data collection, analysis and use. Appendices to the PMEP include a Results Framework, Performance Indicator Reference Sheets (PIRS), Annual Performance Data Table (ADPT), and Data collection tools. Some donors may also require a Logical Framework.

## MEL Project Lifecycle



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# Post - award phase – Manage and monitor



## MEL at Start-Up - Developing the PMEP

PMEP includes:

- Understanding how the activities will be implemented;
- Review Results/Logical Framework and Indicators;
- Add in the necessary organization's Practice Area Indicators (PAI);
- Defining each Indicator;
- Determine data collection method for each indicator;
- Defining the ways the data will be used;
- Identifying Learning Activities;
- Complete PMEP;

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# Post - award phase – Manage and monitor



## MEL at Start-Up – Sample PMP

Performance Indicator	Measure of output and disaggregation	Data Source and Frequency Collection	Responsibility	Targets
<b>MAK Results: Project activities</b>				
Formalization and registration of member associations from various informal MSMEs.	Number of member associations, CBOs, chamas and self-help groups registered/recruited.	<ul style="list-style-type: none"> <li>Monthly recruitment campaigns.</li> <li>Baseline surveys.</li> <li>Bi-monthly narrative reports.</li> <li>Quarterly progress reports.</li> </ul>	MAK	<ul style="list-style-type: none"> <li>Target to register 5,000 groups within two years. 50% within the 1<sup>st</sup> year and the other 50% during the second year.</li> <li>Each group registered will have an average of 200 members thus after two years, MAK will have recruited/registered 5,000 groups with approx. 1,000,000 members.</li> </ul>
<b>MAK Results: Education</b>				
Design and implement development support programs.	MSMEs curriculum/ hand book developed.	<ul style="list-style-type: none"> <li>Monthly narrative reports.</li> <li>Quarterly progress reports.</li> </ul>	MAK	<ul style="list-style-type: none"> <li>MSMEs curriculum/ Handbook, brochures, pamphlets distributed to all current and future members of MAK.</li> </ul>
Hold networking sessions in order to facilitate exchange of information and developing of	Well organized networking events for MSMEs with relevant stakeholders held.	<ul style="list-style-type: none"> <li>Calendar of events.</li> <li>Monthly narrative reports.</li> <li>Participant lists.</li> </ul>	MAK	<ul style="list-style-type: none"> <li>An annual networking event to be held every January.</li> <li>Annual MSMEs forum to be held every April with adequate representation of all members of</li> </ul>

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# Post - award phase – Manage and monitor



## **MEL at Implementation - Data Quality Assessments**

The quality dimensions assessed include;

- Reliability;
- Timeliness;
- Completeness;
- Precision;
- Validity and
- Integrity.

## **MEL at Close-Out**

- Final Evaluation
- Practice Area Indicators (PAI) Reporting
- Data Transfer
- M&E Software

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# Post - award phase – Manage and monitor



## **Compliance Monitoring:**

- Identify the compliance requirements contained in the subaward document.
- Monitor subrecipient compliance with the terms and conditions of its subaward.
- Document compliance monitoring efforts for subaward file.

## **Subaward Payment:**

- No payments should be made to subrecipients under in-kind grants.
- FAS will only be paid upon successful completion of associated milestones.
- The payment process for subrecipients with cost reimbursement subawards is done in two ways;
  - Cost-Reimbursement in Arrears, and
  - Cost Reimbursement with Advances.

# Post - award phase – Manage and monitor



## **Subaward Modifications:**

### **Common changes for In-kind subawards include:**

- To reduce or expand the goods or services provided by an organization and/or the scope of work due to changes to the subrecipient's ability to complete activities or manage the goods provided
- The subrecipient needs additional time to complete activities

### **Common changes for FAS include:**

- Conditions affecting the ability of the recipient to meet the milestone, or
- Cost assumptions change for reasons beyond the subrecipient's control.

# Post - award phase – Manage and monitor



## Subaward Modifications:

**Common changes for Cost Reimbursement Subaward subawards include:**

- Change the subaward end date (costed or no-cost extension).
- Increase or decrease the total subaward amount.
- Change in the scope of work.
- Change in the reporting requirements
- Increase or decrease in obligation.
- Realignment of the budget.
- Removal of a Special Subaward Condition (when subrecipient meets requirement).

# Post - award phase – Manage and monitor



## External Audit:

- Subrecipient annual audit
- Audit Process Map and F&A Divisional Standard
- Plan for corrective action
- On-site Reviews

# Post - award phase – Close-out grant



- Close-Out Sub Review (60 – 90 days before subaward end date)
  - Is the subaward project still on schedule? Is a no-cost extension needed (modification)?
  - Have milestones been achieved, or are there assurances that the subrecipient will complete the milestones on time?
- Close-Out Notice Letter (30 – 60 days before end date)
- Review Subaward File
- Funder Equipment Disposition Request
- Close-out Meeting
- Final Payment
- Final Close-Out Letter (30 - 60 days after award end)



**Questions?**

**Open Discussion**

**Thank You**

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