

Webinar 1: Welcome to the Pooled Fund Grant

Guidelines on Contractual & Financial
Management for Grantees for
Window II Grant Recipients

Outline & Important Notes

To Note:

- **Please mute your microphone and turn OFF video.**
- Questions will wait until the end of the presentation.
- Type questions into the chatbox.
- This presentation and additional Q&A will be circulated to you by email (English/Spanish).
- Email annmarieq@unops.org, tinmemea@unops.org if you would like a personal call for your questions.

Presentation Outline:

- Welcome
 - Recipients
 - About the Grant
 - Roles & Responsibilities
- Reporting
- Revisions & Amendments
- Closeouts
- Oversight
- Management, Accounting, & Documenting Costs
- Technical Assistance
- Questions & Answers

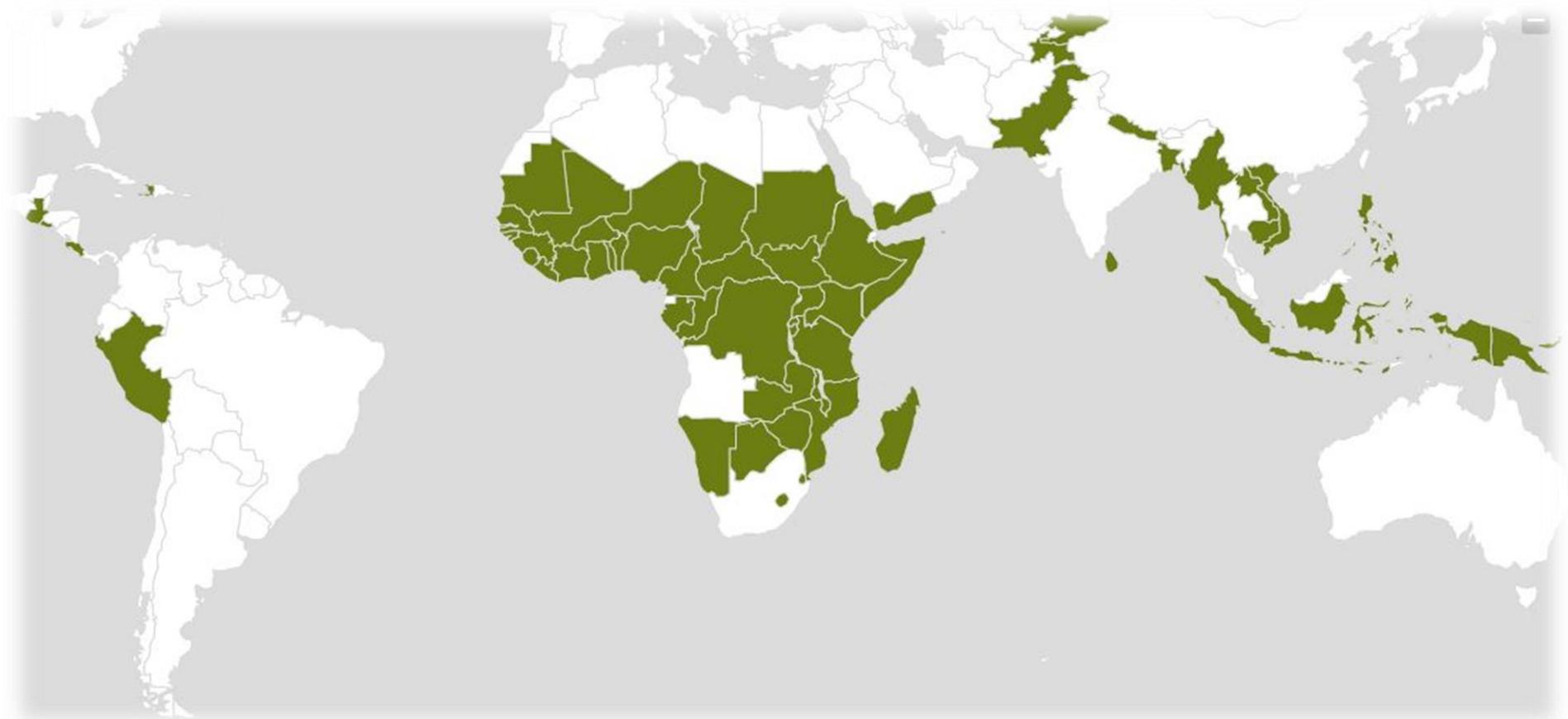


Welcome!

2017-2020
SUN Movement Pooled
Fund

 **UNOPS**

Scaling Up Nutrition (SUN) Country Member States



64 member states including 4 Indian States

Project Agreement

- All grant services are directly managed by UN Office of Project Services (UNOPS) as part of hosting arrangement with SUN Movement.
 - UNOPS
 - SUN Secretariat
 - Civil Society Network
 - Government Institutions
 - UN Organizations



Pooled Fund Grant Recipient Countries

Window I Cycle I	Window I Cycle II	Window I Cycle III	Window II Cycle I
Bangladesh	Afghanistan	Bangladesh	Bangladesh
Benin	Burkina Faso	Cambodia	Costa Rica
Burundi	Cambodia	Côte d'Ivoire	Ethiopia
Cameroon	Côte d'Ivoire	El Salvador	Guatemala
Chad	Ethiopia	Ethiopia	Kyrgyzstan
El Salvador	Guinea	Lao PDR	Malawi
Ghana	Indonesia	Nigeria	Nigeria
Kyrgyzstan	Kenya	Madagascar	Senegal
Liberia	Madagascar	Pakistan	Sierra Leone
Mali	Malawi	Senegal	Tanzania
Myanmar	Mozambique	Sri Lanka	Vietnam
Namibia	Nepal	Tanzania	Zambia
Nigeria	Niger	Uganda	
Papua New Guinea	Pakistan		
Senegal	Peru		
Somalia	Philippines		
Somaliland	Tanzania		
South Sudan	Zambia		
Sri Lanka	Zimbabwe		
Sudan			

- ✓ 20 countries under W1C1
- ✓ 19 countries under W1C2
- ✓ 13 countries under W1C3
- ✓ 12 countries under W2C1

Meet Pooled Fund Team



Ophelie
Pooled Fund Coordinator
(SUN Secretariat)

- Assists in proposal review.
- Triangulates information with appropriate stakeholders to establish consistency.
- Insuring that the SUN Lead Group's strategies are adhered to.
- Supports the SUN-CSN with fundraising and sustainability, technical assistance in MEAL, governance, and other areas.



Ann-Marie
Grants Analyst (UNOPS)

- Day-to-day grant management support;
- Focal point for CfPs and proposal process;
- Administer signed agreements and release funds.
- Grant monitoring, including proactive anticipation of delays.
- Lead on developing annual narrative report and review process.



Tin Me
Grants Officer (UNOPS)

- Development & maintenance of M&E system.
- Charged with insuring grantees submit programmatic reports on time.
- Data auditing and verification (spot-checks and on-site).
- Maintain M&E database.
- Participates in grantee capacity-building workshops.
- Coordinate with SUN CSN MEAL advisor and develop National Results Framework with SUN-CSN Secretariat.

- **Fiona, M&E Specialist**
- **Julia, M&E Consultant**
- **M&E and Quality Assurance Specialists in Bangladesh, Côte d'Ivoire, & Ethiopia (UNOPS)**

Pooled Fund Roles & Responsibilities

- Funders/Grantors (UNOPS)
- Prime Recipients (You! – CSAs, Chairing organizations of CSAs, Hosts, governments, UNOs)
 - Pre-Award Responsibilities: collecting budget information and data, submitting grant application, etc.,
 - Post Award Responsibilities: purchasing, financial reporting, budgeting, budget revisions, collecting data and documentation, contract close-out.
- Sub Recipients
 - Pre-Award Responsibilities: supplying data for grant application, memorandums of agreement with partners.
 - Post-Award Responsibilities: conducting project activities, documenting data, participants, etc.,



Reporting

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Reporting in Pooled Fund

Type of report	Reporting period	Report due date	What to submit
Monthly Update	Monthly	7 th day of the following month	Monthly progress report
Interim Report	From: Day/Month/Year To: Day/Month/Year (as specified on your contract)	30 days later (as specified on your contract)	<ol style="list-style-type: none"> 1. Narrative report; 2. Financial report* <i>*UN agencies may use their own form;</i> 3. Risk log; 4. Case study report/human interest story (at least 1 at the interim or final report); 5. Photographs of project activities with a legend about the photo in the format of JPEG (optional); 6. Publications, summaries or minutes of workshops/meetings, etc., (optional) 7. Receipts or proof of expenditure (i.e. "source documents") for expenses with a value of USD 1,000 or above.* <i>*Except government & UN agencies.</i>
Final Report	From: starting date of project To: last date of project (as specified on your contract) (cumulative)	60 days later (as specified on your contract)	

Reporting webinars will be held separately to orientate you on the details of reporting template.

There is no website to upload your reports. Please email the reports to:

1. SUN Grants email: sungrants@unops.org
2. Ann-Marie: annmarieq@unops.org
3. Tin Me: tinmemea@unops.org
4. Fiona: fionag@unops.org

Financial Reporting

- Tell us of any development relevant to or affecting the delivery of the project, such as severe exchange rate fluctuations, etc.,
- Reports must be approved by UNOPS and the SUN Movement Secretariat prior to payment – verify with your project team that the first payment will be adequate for the first 5-6 months.
- UNOPS can negotiate Ad hoc reports can be addressed when necessary (earlier payment or poor performance).
- It is your responsibility to maintain clear, accurate, and complete financial records for the Pooled Fund project.
- Financial reporting must be prepared in US Dollars.
- Only actual costs incurred may be reflected. Do not report financial commitments, anticipated inflation, etc.,

Narrative Reporting

- Keep UNOPS informed at all times of any development relevant to or affecting the delivery of the project.
- The grantee will submit to UNOPS progress reports and one final report, according to the reporting timetable. More detailed information about the progress reports will be provided in the Monitoring & Evaluation Webinar.
- UNOPS can request additional reports if necessary (e.g., Monthly updates).
- All reports are considered public information and will be shared with donors and those involved in the Pooled Fund governance.

Notes on Reporting

- Every report (both financial and narrative) will be thoroughly reviewed as per UNOPS policies. Reported financial expenditures must match with the project achievements on the ground and narrative report, and they should be verifiable.
- If there are discrepancies or errors, we will contact you by email to correct them. We cannot correct them for you.
- Relevant supporting documents must be submitted for verification.
- Justifications are required for any programmatic/financial deviation.
- Payment cannot be issued until the report is correct and approved by both UNOPS **AND** the SUN Movement Secretariat.
- Please plan accordingly:
 - **Account for grant expenditures regularly.**
 - Start planning your purchases and collecting quotes.
 - Be available during reporting periods.
 - **Scan and save all expense documents and reports.**

A Note on Photos

- Take lots of photos of your project! They are useful for reports, CSA membership, and nutritional advocacy.
- You may use SUN Movement logos, Twitter handles, and social media tags where they are relevant to the project. **Do not use UNOPS logos!**
- We will send you a document with the SUN Movement logos, size and color specifications with clear guidance about their use.

- Precautions:
 - Do not tag the SUN Movement or use its logos with organizations that violate the WHO policy on marketing breast-milk substitutes.
 - If you take a photo with a child, please get at least one parent's permission to take and use the photo.
 - If you use the SUN Movement logo, the SUN Movement/UNOPS has the rights to use it for their own purposes as well.



Revisions & Amendments

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Pooled Fund



Conditions related to changes in the project

Prior approval is required in writing for any of the following changes.

- Change the scope or the objectives of the programme;
- Revise the funding allocated among project objectives;
- Plans to transfer funds budgeted for indirect costs to absorb increase in direct costs or vice versa;
- Changes in personnel (for example: overtime pay, rearrangement of personnel duties, changes in % of time work on the grant, and changes in compensation);
- Subgrants or contracts not included in approved project budget;
- Additional funding needed;
- Purchases of equipment over \$2,500 using grant funds, even if specified in the approved application and budget;
- International travel.

Do not assume approvals have been granted unless documented by email confirmation.

What are the next steps?

- UNOPS will review and communicate the decision in writing;
- Based on the changes budget revision may be required;

Conditions for budget revision

- If the expenditure on budget category is expected to exceed 50% original category over the entire project duration [Travel, Operations, and Other categories];
- If you make ANY changes in the budget of the personnel category (amount, % of time on the grant, etc.);
- If you want to make a sub-grant to an organization not included in the approved Grant Agreement budget.

Process for Budget Revisions

- YOU GIVE: New budget in excel.
- YOU GIVE: An explanation on the changes (UNOPS will send you a form to complete).
- YOU RECEIVE: A grant amendment (if approved) to countersign.

Do's and Don'ts of Budget Revisions

- DO: check and double-check your budget to ensure it is mathematically correct.
- DO: include multiple changes in one revision. Individual revisions for every change are not necessary.
- DO: check with the accountant and the field staff to make sure all costs have been considered.

- DO NOT: obligate funds until your grant amendment is countersigned.
- DO NOT: shift funds in/out of the indirect costs category to cover other areas of the budget. If you think you do not have as much indirect costs as originally budgeted, contact UNOPS.
- DO NOT: request a revision to increase the total amount of your original project budget.



Closeout

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 UNOPS

Closeout

- “Operational closure” of the grant agreement refers to the last date of the agreement, or upon early termination of the agreement by either the Grantee or the UNOPS as spelled out in the grant agreement to the other party.
- No activities or expenditures are to be incurred after this date.
- All funds which remain unutilized after completion of activities must be returned to UNOPS.

- REMEMBER that your performance will be considered in future grant funding decisions, capacity assessments, and due diligence.
 - “Performance” means delivering the outputs that you proposed and spending (correctly) the money that you received to do it.

Closeout Process

- You will receive an email reminder 60 days before your grant will expire.
- Submit requests for revisions or no-cost extensions any time up to 30 days BEFORE the end of agreement. Don't wait to submit amendments!
- UNOPS can refuse or adjust requested budget amendments or extensions.
 - Poor planning is not an excuse for an amendment or extension!
- You will receive a close-out letter and final payment upon receipt/acceptance of your final report.

Retention

- Please safely store your project documents for 5 YEARS from the END DATE of your grant.

- Examples of documents that you should keep:
 - The initial proposal (it was a good one!);
 - The final proposal and final budget (if there were amendments);
 - A copy of the grant support agreement, signed by both parties;
 - Any amendments to the grant support agreement;
 - Any approved budget revisions; and
 - Copies of all reports submitted to UNOPS;
 - Financial documents including invoices, contracts, receipts, etc.,

Non-Expendable Equipment

- All non-expendable equipment purchased with this project funds are the property of the funding source;
- You have to maintain the records of non-expendable equipment with an acquisition value of USD 2,500 or more purchased with project funds;
- An inventory must be submitted to UNOPS within 90 calendar days after the end of the agreement. Please include the condition of the equipment and the proposal relating to the future status of the item (sale/transfer/donation, etc.);
- UNOPS will review and provide decisions for further process.



Oversight

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Qualities of Effective Grant Management

- Written and followed policies and procedures.
- Adequate tracking tools:
 - Forms, files, electronic storage, and accounting records.
- Qualified and trained financial staff.
 - If you need to allocate funding for a contract bookkeeper, financial software, or an internal project audit, contact us for a budget revision or add now before the contract is signed.
- Effective communications.
- Succession planning and cross-training.
- Active and informed Board Members.
 - Depending on the laws of your country, the Board Members can be financially and legally responsible for the grant. Manage it well!

Internal Controls

Internal Controls are the checks and balances on expenses, legal commitments, and activities in an organization.

- We expect you to have good internal controls where:
 - There is an employee Code of Conduct/Ethics.
 - Contracts and job descriptions for employees are written down and signed by the employee.
 - You report periodically to your Board Members AND your periodically Board Members meet.
 - You have a hiring and salary policy for employees.
 - You have a policy for employees to report fraud and safeguards to protect them from retaliation.
 - There is a clear chain of command or manager/supervisor/executive line.
 - You have a written procurement, travel, and accounting procedures.

Documenting Expenses

PROCURATION
وكالة

soussigné, M, M^{me}: : أنا الممضي (ة) أسطه السيد(ة) :

.....

présentant de l'entreprise ممثل (ة) المؤسسة

.....

e à الكائنة بـ

.....

Donne pouvoir à l'agent de **SERVICES 24H ALGERIE**, pour effectuer toutes
les démarches et formalités nécessaires afin de récupérer le cahier des charges

أعطى، سلطاناً، إلى: عن: خدمات 24 ساعة الحائز لتنفيذ عمله المساء.

- Documenting expenses allows you to prepare for audits, follow the stages of a purchase, validate accounting records, and show proof of what you have accomplished.
- Examples: Key Documentation
 - Payroll
 - › Signed timesheets with supervisory approval
 - › Payroll register
 - › Personnel file with salary/wage information
 - › Employment contracts
 - › Cancelled checks

Documenting Expenses (continued...)



- Procurement
 - › Quotes for goods/services (normally 3)
 - › Contract (if necessary)
 - › Invoice
 - › Receipt (multiple if paid in instalments)
 - › Photos/certificates/or other proof of delivery
- Travel
 - › Airline/train tickets
 - › Contract/receipt for drivers
 - › Itemized hotel bill
 - › Cancelled check/direct deposit of DSA.
 - › Travel summary form (that shows purpose of travel, dates, # of meals included, etc.)

Documenting Expenses (continued...)

- Activities
 - > Attendance rosters
 - > Photos
 - > News articles

	A	B	C	D	E	F	G	H	I
1	Attendance Roster - 2016								
2	Student Name	ID#	Grade	8/22	8/23	8/24	8/25	8/26	
3									
4									
5									
6									



Financial Verification

- You must maintain all financial records, supporting documents, statistical records and all other records pertinent to the Grant Support Agreement in accordance with International [Financial Reporting Standards](#) (IFRS) [or applicable national legislation] to sufficiently substantiate grant expenditures.
- You must document your expenses.
- UNOPS can request to see all or specific aspects of your project expenditures or financial policy at any time (in person or by email).
- You must allow UNOPS the right to access those documents as well as your project site for financial verifications.

On-Site Evaluation

- The schedule of field visits is under development by the Monitoring & Evaluation Specialist:
 - All Pooled Fund projects will be visited at least once by UNOPS. Exceptions to site visits will be at the discretion of UNOPS in consultation with relevant bodies of the SUN Movement.
 - All office and field visits will be scheduled in advance with grantees and a formal process of feedback undertaken.
 - Additional members of the CSA should attend the de-briefing, to ensure agreement on follow-up actions.

A construction worker is shown from the back, wearing a yellow hard hat and an orange safety vest with reflective yellow-green stripes. They are carrying a large, white, weathered bucket filled with concrete on their head. The worker is wearing yellow work gloves. The background shows a construction site with a concrete wall and some equipment.

Accounting, Managing, & Documenting Costs

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Accounting for Grant Funds

- Use an organized, semi-computerized accounting system.
- Distinguish Pooled Fund project verses non-Pooled Fund project related expenses.
- Identify costs by budget category (Travel, Personnel, Operations, etc.,) so you can compare Budget vs Expenditure side by side.
- Separate direct and indirect costs.
- Match purchases to supporting documents.

Allowable, Reasonable & Allocable Costs

- **Allowable:** A cost in your approved budget that is consistent, documented, reasonable & allocable.
- **Reasonable:** A cost that does not exceed what a prudent person would do under the circumstances at the time the decision.
 - For example, air travel under the Pooled Fund Grant should only be taken in Economy Class.
- **Allocable:** Treated consistently with other costs incurred for the same purpose in like circumstances and benefits the award and can be distributed proportionally to the benefits received.
 - For example, the formula for calculated per diem for your employees on travel is the applied consistently to each employee that goes on the project trip.
 - For example, the way you account for gasoline is calculated with the same formula each month.

Examples of Unallowable Costs

- Do not use grant funds to purchase spare parts or additional warranties.
- Items or services that occurred before your grant started or, after it is over.
- Bribes, personal debts, donations, any payments of an illegal nature, etc.
- The amount of interest earned on grant funds over 250 USD. **It is unlikely that you will earn more than this in interest. Check with your bank.**
- Do not pay for/use items outside the geography or use [called the “scope”] of what you said in the grant application.
- For example:
 - “We will train 2 Nutrition Champions to take part in our behavioral change campaign.”
 - But...the funding was spend sending officials to a conference on agricultural trade instead.



Technical Assistance

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Technical Assistance (TA)

- The SUN Civil Society Network provides technical assistance to Civil Society Alliances.
- Examples of Technical Assistance
 - Organization/movement governance;
 - Fundraising;
 - Parliamentary engagement;
 - Youth engagement;
 - Media engagement;
 - Undertaking new research;
 - Behavior Change Communication (BCC) for improved nutrition;
 - Inputting in the development/revision of policies and legislations;
 - Advocacy and influencing national advocacy;.
 - Creating and promoting your Nutrition Champion(s), etc.
- Email: ophelie.hemonin@scalingupnutrition.org and sun.csnetwork@savethechildren.org.uk for technical assistance.

Reach out to us!

- Hours:
 - 08:00 – 18:00 (Geneva or London Time)
- Ophelie Hemonin: ophelie.hemonin@scalingupnutrition.org
- Fiona Gatere: fionag@unops.org
- Ann-Marie Quinn: annmarieq@unops.org
- Tin Me Me Aung: tinmemea@unops.org
- CSN Network: sun.csnetwork@savethechildren.org.uk
- Stay tuned for the upcoming webinar on Monitoring & Evaluation!



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Q&A

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From Webinar I: Window II Grant Recipients

Reporting

Q: Do we need to scan all documents to submit as source documents for reports?

A: Yes, any document with the value equivalent to or above USD 1,000 should be submitted as source documents. You can use google drive, dropbox or emails, etc., to send those documents.

Q: Is it compulsory to fill in the financial monitoring sheet?

A: Yes, you will need to fill the expenditure against each activity as laid out in the budget. If your organization can produce a ledger, this can be imported into the excel into the financial monitoring sheet. Ledger itself can be shared in excel form as part of supporting document.

Q: We missed to submit February monthly report. How do we reconsolidate?

A: February update is due on March 07 and today is March 10. Hence, you can still submit the report for February. Or if there is not much implementation in February, you can also consolidate in the upcoming monthly report for March.

Reporting (cont'd.,)

Q: Window II focuses on strengthening in country coordination. Can CSA representatives share the reports to SUN Movement Secretariat in Geneva and share with partners in multi stakeholder forums?

A: Yes, you can share along with the letter to SUN Movement Secretariat in Geneva or share with partners in multi stakeholder forums. But please respect the confidential information of others (e.g., expenditures on salaries that you report to UNOPS may have to be omitted while sharing with other platforms).

Q: It says in the Interim Report Template that the report should be maximum 5 pages. But the template itself has 4 pages already.

A: The report excluding the instructions from UNOPS should be maximum 5 pages. The page limit can be flexible when you have absolutely necessary information to report and it is exceeding 5 pages.

Note: for the samples of reporting templates, please go here <https://scalingupnutrition.org/sun-supporters/sun-movement-multi-partner-trust-fund/sun-movement-pooled-fund-2018-2020/>. The reporting templates are currently being modified but there won't be much deviation from the existing ones.

Non-Expendable Equipment

Q: When you say USD 2,500, is it value for an item or total amount?

A: It is the value for an item.

Exchange Rate

Q: Can we use our own exchange rate? Do we need approval again?

A: Yes, you can use your own exchange rate. Please indicate that when you report (if possible, please share the link to the website where the exchange rate is taken as reference). You don't need additional approval.

Q&A from Previous Webinars

Q: If we are to do our financial reports in USD, how should we treat exchange rate and exchange losses?

A: The total grant amount under this Agreement is not subject to any adjustment or revision because of price or currency fluctuations or the actual costs incurred by the Grantee in the performance of the activities under this Agreement.

For standard grant agreements, you may use the following treatment of exchange rates:

- *The Grantee shall convert expenditure in non-USD to USD using the exchange rate applied by the local bank when receiving the different tranche payments of the grant, using the following method:*
 - › *The expenditure will be converted using the exchange rate at the date the 1st tranche payment was received by the grantee until the funds received through the 1st tranche payment are exhausted. Then the grantee will use the exchange rate at the date of the 2nd tranche payment until the funds received through the 2nd tranche payment are exhausted, and so on.*
 - › *In certain cases, grantees may request a waiver of this provision if it supplies documentation of its own standard organizational method for converting expenditures into USD.*

Q&A from Previous Webinars (cont'd.,)

Q: Are there Quarterly Reports?

A: No, there is only the interim and final reports. However, we have the right to ask for additional reports on an ad hoc basis if there are changes in your performance.

Q: Are there copies of the narrative report forms?

A: Yes, the forms will be sent to you by the Monitoring & Evaluation Specialist after you attend the webinar. We will also send out copies of these materials again when it is time to report.



Thank you