Grant Processes & Procedures

PROGRAM OFFICE
PRE- REQUISITES PRIOR TO GRANT SIGNING

- c4r Comments for response
- bc4r Budget comments for response
- PIP Policy Influence Plan
- D&D Deliverable and disbursement schedule

Grant agreement document
The deliverables and disbursements schedule is an element of the grant agreement that sets out the reporting and technical deliverable requirements of the grant along with the tranche payment share and schedule.

- Realistic timelines
- Each tranche has a set of fixed deliverables, and technical deliverables
  1) Fixed deliverables consist of a three part report
     • an activities progress report
     • a PIP progress report
     • a signed financial utilization statement
  2) A technical deliverable

‘A complete set of deliverables for each tranche must be submitted before it is sent for review to various units of 3ie for approval’
<table>
<thead>
<tr>
<th>Date reports and deliverables due</th>
<th>Tranche payment share of the grant</th>
<th>Reports and deliverables to be submitted to, and approved by, GDN-3ie prior to disbursements by GDN</th>
</tr>
</thead>
<tbody>
<tr>
<td>dd/mm/year</td>
<td>Upto 30%</td>
<td>(i) Original signed agreement and 3ie grant letter agreement to GDN;</td>
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<tr>
<td></td>
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<td>(ii) Satisfactory written responses to c4r</td>
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<td>(iii) Satisfactory written responses to bc4r</td>
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<td>(iv) Policy Influence Plan (in 3ie template)</td>
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<tr>
<td>dd/mm/year</td>
<td>10-20%</td>
<td>(i) Progress report and PIP report (in 3ie format) including a financial utilization statement</td>
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<td>(ii) Supporting letter from at least one key stakeholder</td>
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<td>(iii) Baseline study or other mid-evaluation technical deliverable, including survey questionnaire (if applicable)</td>
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<tr>
<td>dd/mm/year</td>
<td>0%</td>
<td>(i) Progress report (in cases where there are more than 12 months between tranche payments) (in 3ie format)</td>
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<tr>
<td></td>
<td></td>
<td>(ii) Supporting letter from at least one key stakeholder</td>
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<tr>
<td>dd/mm/year</td>
<td>10-20%</td>
<td>(i) Progress report and PIP report (in 3ie format) including a financial utilization statement</td>
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<td>(ii) Evidence of engagement with key stakeholders</td>
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<td>(iii) Preliminary results, mixed methods analysis, or other mid-evaluation technical deliverable, including survey questionnaire (if applicable)</td>
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<tr>
<td>dd/mm/year</td>
<td>10%</td>
<td>(i) Progress report and PIP report (in 3ie format) including a financial utilization statement</td>
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<td></td>
<td>(ii) Draft final report (in 3ie format)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(iii) Evidence of engagement with key stakeholders</td>
</tr>
<tr>
<td>dd/mm/year</td>
<td>10%</td>
<td>(i) Final progress report and PIP report (in 3ie format) including a financial utilization statement</td>
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<tr>
<td></td>
<td></td>
<td>(ii) Revised final report (in 3ie format)</td>
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<td>(iii) Policy brief</td>
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<td></td>
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<td>(iv) Proof of public availability of data and coding</td>
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<td></td>
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<td>(v) Draft papers to be submitted to peer-reviewed journals, if available</td>
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<td>(vi) Audited financial report (for grants over US$500,000)</td>
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</tbody>
</table>
• If the time period between a tranche is more than a year. The grantee will submit the 3 part progress report as an update to 3ie.

• The technical deliverable for the penultimate tranche is the draft final report (DFR). This is submitted once all agreed data collection and analyses are complete.

• For the final tranche the revised version of the DFR (RDFR) is submitted, which takes into consideration and incorporates the consolidated comments provided by 3ie. The RDFR is deemed a Final report once it is approved by the 3ie Evaluation Office.

“Tranche payments can be processed only after receipt and review of all the deliverables associated with that tranche”
The grant agreement templates are available on the 3ie website and the grantees were expected to review the same before submission of application.

- Satisfactory submission of a response to the c4r, bc4r documents and 3ie approval, and an approved PIP
- Agreement between 3ie and the grantee on the D&D schedule
- The 3ie Program office then draws out the grant agreement which is signed by 3ie and then sent to the grantee for countersignatures.
- On receipt of the hard copy of the grant agreement the first tranche is disbursed.
Deliverable review

**GRANTEE**
Submits deliverables

**PO**
Checks all deliverables submitted

**GDN FO**
Reviews financial utilization statement

**PACO**
Reviews PIP progress report

**EPA**
Reviews technical deliverables

**EO**
Reviews technical deliverables

**PO**
Consolidates approvals (or returns queries to grantee) and requests approval from (D)ED

**(D)ED**
Approves disbursement

**GDN FO**
Disburses tranche

6-8 Weeks
Grant amendment

• A grant amendment must be proactively requested prior to the event

• A request for a variation should be submitted to the Program office, the letter should be signed by the contract signatory detailing the reasons for the amendment.

• Amendments should be requested for the following
  - Change in the evaluation design
  - Budget augmentation
  - A no cost extension in case of delays
  - Changes in the deliverable schedule

• 3ie then reviews the request and processes a Letter of variation
An amendment is not required for the following, However the 3ie program office must be informed in advance and approval obtained incase there is a

- Budget reallocation exceeding 10%,
- Change in PI
- Change in contact person, contract signatory
- Changes in contact details - email address
3ie Grantee reporting guidelines

- Progress report format
- Financial utilization statement template
- Policy influence Plan (PIP)
- PIP progress report format
- Final report format and structure (DFR)
- Budget template