END Fund Program Development and Grant Management

Overview of Processes and Procedures to Ensure High-Impact NTD Control Programs

Executive Summary

The END Fund International Programs Team is responsible for the management of program activities and overall performance of the projects included in our current granting portfolio. This is a comprehensive multi-step process that involves high-level work from stages of program development to final closeout. Though every project is unique, this document is intended to provide a review of the primary documents, dashboards, communications and duties performed by the team to ensure the success of END Fund programs in reaching our goal of controlling and eliminating NTDs.

The primary function of the END Fund programs team is to manage grants in a professional manner that meets the standard expectations for good practice in the NTD sector. In doing so, the team must ensure that all aspects of a program are consistent with WHO guidelines for delivery of NTD interventions and treatment. Team members monitor programs and provide technical assistance to partners when necessary to ensure minimal risk to funds provided by the END Fund and our donors. With the overall objective to deliver high performing projects, the team works collegially at different levels of involvement with our various partners. Depending on their existing capacity and the complexity of the program, the team takes an approach of light touch, moderate engagement, or substantial involvement to also ensure that donors and the END Fund receive a maximum return on their investment.

Abbreviations

CEO	Chief Executive Officer
IP	Implementing Partner
MDA	Mass Drug Administration
M&E	Monitoring and Evaluation
PA	Partnership Agreement
PAF	Performance Assessment Framework
PD	Program Director
PAT	Program Analysis Tool
SVP	Senior Vice President
TAC	Technical Advisory Council

TOR	Terms of Reference
WHO	World Health Organization

Step-by-Step Detail of END Fund Program and Grant Management Operations
Please be aware that many of these process may occur simultaneously.

END Fund Program Operations	
Program Development	
1	Landscaping - Perform desk research on country of interest
2	Scoping - Identify potential IP
3	Scenario Development - Develop potential intervention scenario with selected IPs
4	Concept - Request preliminary documentation from IP such as concept note, projected budget and work plan
5	Donor Engagement - Use gathered research to produce concept notes and other requested materials for potential or identified donor(s)
6	TAC Consultation - Submit concept note to TAC for feedback
7	Greenlight - Receive decision to move to full proposal/notice of probable implementation and request full application materials from potential IP
8	Online Project Management Tool - Establish country project file with standard template within the online project management tool; use tool to manage project and document program-related tasks, key conversations, decisions, and completed activities
9	Team Updates – Commence inclusion in weekly program updates given during all-staff bi-weekly END Fund team calls, regular senior management meetings, and regular one-on-one update meetings with PDs
Due Diligence	
1	Application - Receive completed application form from IP including reference materials, performance assessment framework, and budget
2	Reference Check - Request and follow up on IP references
3	Program Analysis Tool - Use PAT to conduct a comprehensive review of details of the investment
4	Financials Review - Obtain IP legal and financial information for review by PD and (if over $250,000) SVP Finance and Administration
5	Programmatic Risk Analysis - Analyze level of risk using the PAT summary and score sheet
6	Program Log - Insert a new sheet into program log and add a reference line on the summary sheet, use to capture and monitor significant program information and activities
7	Financial Management and Systems Analysis - Analyze risk using the newly developed Financial Management and Systems Assessment Tool
8	Compliance Meeting – Perform site visit when deemed necessary with IP to review compliance requirements of PA before completing PA
Agreement Negotiation	
1	Partnership Agreement - Draft PA and supporting annexes; review, negotiate and finalize with IP the budget, work plan, PAF and target numbers, reporting dates, disbursement schedule, and special conditions; if an agreement is used other than our standard PA template then have reviewed by the SVP Finance and Administration
2	Dashboards - Create program financial dashboard to track donor commitments, disbursements and expenditures
3	Quality Control – Submit final documentation to SVP Programs for final review
4	IP Signature – Obtain signature to PA by authorized representative of IP
5	END Fund Signature – Submit final documentation to END Fund CEO for final review and signature,

	circulate copies to IP and file in the online electronic document library within the relevant country file
6	Program Tracking –Add program to grant tracking calendar and insert important events (MDAs, program updates, and donor report dates)
Project Funding and Implementation	
1	Initial Wire Transfer - Wire first tranche of funding to IP (usually 75% of annual budget)
2	Transfer Record - Send/receive back countersigned disbursement letter(s), copy to SVP Finance and Administration
3	Periodic Reports - Review periodic reports and cash requests as necessary to ensure IP is fulfilling conditions of PA, use Project Cycle Management approach and provide systematic feedback to IPs on performance; s**tandard practice is for the END Fund to receive quarterly program updates from grantees**
4	Substantive Involvement - PD to be in regular communication with IPs to discuss implementation issues and assist in any necessary decision making or technical guidance; communicate any material program variances to Senior Management Team so donor communications and financial impact can be assessed
5	Log and Dashboard Maintenance - Update program status log with substantive issues or decisions, update grant tracking calendar with key program performance indicators and update financial dashboards as necessary
6	Tranche Disbursement -Disburse funds as approved on a validated cash analysis and requirement basis
7	Donor Report - Submit draft donor reports (narrative, financial, communications) to SVP External Relations and CEO 7-10 days before donor reporting deadline for review and modification as needed. Involve SVP Finance and Administration in elements of financial reporting in advance of first draft being prepared for review
8	Program Visit - Schedule and complete in-country monitoring site visits; minimum one per program year, record findings in TOR and trip report template
9	Program Monitoring – Communicate with IP to review program and discuss any necessary follow-up action with SVP Programs; communicate any material program variances to Senior Management Team so donor communications and financial impact can be assessed
10	Periodic Grant Renewals - As required, after one or two years of program implementation, renegotiate targets, work plans and financing terms.
Program Close-out	
1	Negotiate Financial Program Closeout - Wire final tranche of funding, receive back countersigned disbursement letter (if any unspent funds, obtain donor approval for use of balance); copy to SVP Finance and Administration
2	Final Reports – Review and approve final programmatic and financial reports, verify final cash balance with IP and determine where it will be used
3	Data - Update final data (beneficiary numbers, finances, etc.) in all dashboards
4	Audit - Collect financial audit reports
5	Asset Ownership – Determine need for asset transfer and if necessary complete records of transfer of ownership, f**or example, the transfer of purchased vehicles by NGO partners for programming to the MoH for permanent inclusion in the NTD program activities**
6	Close-out Letter – Send close-out letter, obtain signatures of IP and SVP Programs; copy to SVP Finance and Administration

Granting Documents and Tools

In order of mention in table above

The Application for Funding:

- Word document submitted by the potential implementing organization using END Fund's standardized template
- Provides general knowledge about the IP as well as program specific information
- Includes financials and other documents to be considered throughout due diligence process

Project Management Tool

- Web and mobile project management cloud-based application designed to allow teamwork without email
- Gives individuals the ability to create and assign tasks, show that tasks have been completed, and post comments or information to colleagues
- The END Fund has a standard template outlining all activities throughout the life of each program

The PAT Worksheet:

- Word document
- Created as a worksheet to guide the IPT through the process of analyzing the risk associated with a program proposal
- Requires the review of all documents submitted with the application

The PAT Summary/Score Sheet:

- Excel spreadsheet
- Determines the project's overall risk to the END Fund

Program Status Log

- Excel spreadsheet
- Includes a separate sheet to document key activities or decisions for each program as well as a summary sheet which includes the most recent activity from each program

Partnership Agreement:

- Word/PDF document
- Standardized template includes the main agreement and four annexes including standard terms and conditions, program assessment/logical framework, budget, and branding/communications guidelines
- Legal agreement signed by the END Fund and selected implementing partner
- Outlines requirements of the implementing partner and the END Fund and forms the legal basis for the relationship showing all relevant terms and conditions

Performance Assessment Framework

- Excel spreadsheet created as part of agreement with IP
- Lists outcomes, outputs, and objectives of the grant alongside the indicators/targets that should be met periodically in order to achieve each

Financial Dashboard

- Excel spreadsheet
- Records exact details of donor commitments, disbursement schedule, actual disbursements to IPs, amounts allocated to overhead costs, and actual expenditures by IPs per year of the grant
- Automatically calculates remaining balances to be disbursed for easy identification of over/underspending

Grant Tracking Calendar

- Excel spreadsheet

- Charts important events over a linear calendar including MDA/training/mapping dates, reporting dates to donors, and dates for programmatic updates over a linear calendar