Preparation of Grant Agreement

- SETUP OPERATIONAL MODALITY
- WHAT IS GRANT AGREEMENT
- WHEN TO PREPARE GRANT AGREEMENT
- HOW TO PRODUCE GRANT AGREEMENT
- WHAT ARE THE STEPS IN SIGNATURE PROCESS
- FINAL HC APPROVAL
- IP GA Counter Signature
- HOW TO GET GRANT AGREEMENT CLEARED WITH EO
- What Next?

Signature of grant agreements has a processing time of up to 3 business days, provided that the documentation submitted to OCHA headquarters is complete, accurate and consistent. The grant agreement is only valid upon signature of both the HC and implementing partner. The start date, agreed by the HFU in consultation with the implementing partner, is indicated in the grant agreement. If the signature of the grant agreement by the implementing partner occurs after the agreed upon start date, the date of the signature of the grant agreement will determine the official start date of the project. Expenditure is eligible from the date of signature by the implementing partner, which marks the entry into effect of the grant agreement.

Setup Operational Modality Top

Operational Modality is a controlling mechanism that is determined by capacity assessment of an NGO partner. The risk level will be adjusted based on a Implementing Partner's Performance Index. Eligible NGOs are required to fill and sign due diligence declarations.

* Please Note: The Due Diligence document required for UN Agencies is the bank info

### Example: Risk Levels based on Capacity Assessment Scoring Results

<table>
<thead>
<tr>
<th>Category</th>
<th>Scoring in Points</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>91 - 100</td>
<td>Organisation is eligible as a Low Risk partner.</td>
</tr>
<tr>
<td>B</td>
<td>71 - 90</td>
<td>Organisation is eligible as a Medium Risk partner.</td>
</tr>
<tr>
<td>C</td>
<td>31 - 70</td>
<td>Organisation is eligible as a High Risk partner.</td>
</tr>
<tr>
<td>D</td>
<td>0 – 30</td>
<td>Organization is not eligible. A new submission for capacity assessment can be considered six (6) months after this review date.</td>
</tr>
</tbody>
</table>
WHAT IS GRANT AGREEMENT

Grant Agreement is a document that enlists the terms of agreement between OCHA and the implementing partner along with the Project details such as Project duration, Budget, Work plan, Beneficiaries, Reporting Timelines etc.

Note: The Grant Agreement or GA Amendment will show the duration of the project in months and days if it cannot be represented in an exact number of months.

When to prepare Grant Agreement

HFU:
The Grant Agreement should be prepared after the Implementing Partner's project proposal has successful passed the Technical Review.

PRIOR to preparing the Grant Agreement, HFU should do the following:

- Set up the Timeline for this project; Indicate Risk Level; Set up the Disbursement Tranches; and the Narrative and Financial Reporting Timelines.
- Update the actual START and END dates of the project
- Lock all tabs EXCEPT the Documents tab
**Set up the Timeline:**

**Indicate the Risk Level**, by selecting the level in the drop down menu. To **ADD the appropriate tranches**, click on the ADD Tranche button and enter the Tranche % per each Tranche. Repeat this step for multiple tranches.

**For the Narrative and Financial Reporting Timelines**, select the Report Type, (Report Name should auto populate after Report Type selected); then enter the Due Date, Active Date, check or uncheck the 'Is Mandatory' checkbox, Indicate Trigger Alert and press the respective <Save> when done.

---

**Operation Control Matrix**

**Risk Level**

- Medium

**Disbursements (in % of Total)**

- Max Funding (thousand US $)
- Audits

**Needs Financial Report For Disbursement**


**Needs Narrative Progress Report**

- Needs Narrative Full Report

**Needs Narrative Final Report**

---

**Disbursement Tranches**

**Lock Project Tabs**

<table>
<thead>
<tr>
<th>Tranche #</th>
<th>Tranche %</th>
<th>Tranche Amount</th>
<th>Actual Disbursed Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tranche 1</td>
<td>60</td>
<td>480,000.00</td>
<td></td>
</tr>
<tr>
<td>Tranche 2</td>
<td>40</td>
<td>200,000.00</td>
<td></td>
</tr>
</tbody>
</table>

**Total Project Budget**: 800,000.00

---

**Narrative Report Timelines**
Update the Actual START and END dates of the project.

The actual start date should be discussed with the Implementing Partner, considering it takes approximately 2 weeks for the signing of the Grant Agreement and transfer of funds to be completed. However, if the Implementing Partner is okay to start prior to the receipt of funds, the start date can be backdated.

* Please note: The earliest start date is the Implementation Partner's signature date.

To lock the project proposal tabs EXCEPT the Documents tab
To lock the project proposal tabs EXCEPT the Documents tab, go to the Project Overview Tab, locate the project by typing in the project code or select by filtering options. Open the project, go to the Project Admin tab. At the bottom of this page, you will see a Tab section, check every tab name that corresponds to the tabs in the project proposal that you want to lock. As illustrated below, all tabs are locked EXCEPT the Documents tab.
After you have selected the tabs you would like to lock, click on ‘Change Lock Status’
Afterwards, the ‘Is Locked’ column should be populated with whether or not a particular tab has been locked.

How to produce Grant Agreement

After a project proposal has successfully been recommended within its technical review, HFU can prepare the Grant Agreement. At this point, HFU clicks on the GA Preparation button.
Next, a pop-up window will appear asking 'Are you sure to GA Preparation'? If you are sure, click Yes.
On screen, next you should see the button 'Send to HC Signature'. BEFORE you press this button, go to:

Reports > Reports > Grant Agreements
Once on the Grant Agreements page, locate the project by selecting from the filtering options:

- Allocation Type
- Agency Type
- Organization
- Status

*Please note*, by indicating of the asterisk sign, Allocation Type and Agency Type are required.
By default, the **report format** is in Word, however you can switch the format to PDF, once done with your selection, click on Filter.

Once your project appears, click on the checkbox next to your project and choose from the following options:

- Export Project to Word
- Export Budget to Excel
- New OCHA Grant Agreement

A message is displayed to remind the user to update the timelines in case of a budget revision before generating the GA amendment. The “update timelines”-button will direct the user to the timelines-tab of the selected project.

If you select ‘NEW OCHA Grant Agreement’, then you will be prompted to indicate which **bank info** and **focal point person** to included in the agreement.
Once you have indicated the bank info and focal person to use in the agreement, you have the option to 'Save & Generate' OR 'Generate'. 
Upon clicking on 'Save & Generate' OR 'Generate', the document will generate and appear at the lower left corner of your screen.

Open the agreement and save it to your computer.

Next, to save the Grant Agreement within GMS go to: HOME; then the Project Overview tab, and locate the project by typing in the project code or by selecting a filtering option(s).
Click on the Edit icon next to the desired project,
### Tasks Overview

<table>
<thead>
<tr>
<th>#</th>
<th>Admin Actions</th>
<th>Primary Cluster</th>
<th>Project Code [Allocation]</th>
<th>Org</th>
<th>Project Title</th>
<th>Budget</th>
<th>Project Status</th>
<th>Start Date</th>
<th>End Date</th>
<th>Due Diligence</th>
<th>View Version(s)</th>
<th>View Project Log</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td>Livelihood (20%), Basic Assistance (20%), Food Security (20%), Protection (20%), Social Stability (20%)</td>
<td>LBB-0/DAOA-0000/Call for Proposals/LH-BA-FS-P-SS/NGO/0000</td>
<td>NAVTSS</td>
<td>Basic attention and protection of the Syrian refugee communities in Zahleh, Lebanon.</td>
<td>299,968.08</td>
<td>SR Rejected</td>
<td>01-Sep-2015</td>
<td>01-Sep-2016</td>
<td>Due Diligence approved</td>
<td>Project Log</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td>Protection</td>
<td>LBB-0/DAOA-0000/Call for Proposals/P/NGO/0000</td>
<td>ABAAD</td>
<td>Protecting and empowering children namely boys survivors of at risk of GBVi: Pilotng temporarily safe-sheltering for male youth and boys in Lebanon</td>
<td>70,035.12</td>
<td>IP Submision of GA to HPU</td>
<td>24-Aug-2015</td>
<td>24-Jan-2016</td>
<td>Due Diligence approved</td>
<td>Project Log</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td>Protection</td>
<td>LBB-0/DAOA-0000/Call for Proposals/W/NGO/0000</td>
<td>ACF</td>
<td>Improving psychosocial well-being of Syrian Refugees vulnerable to gender-based violence (GBVi) in Bekaa Valley.</td>
<td>239,750.67</td>
<td>SR Rejected</td>
<td>01-Aug-2015</td>
<td>29-Feb-2016</td>
<td>Due Diligence approved</td>
<td>Project Log</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td>WASH</td>
<td>LBB-0/DAOA-0000/Call for Proposals/W/NGO/0000</td>
<td>ACF</td>
<td>WASH Service improvement: Smart distribution metering and greywater management in ITBS</td>
<td>249,380.62</td>
<td>Under HC Endorsement</td>
<td>01-Aug-2015</td>
<td>30-Apr-2016</td>
<td>Due Diligence approved</td>
<td>Project Log</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td>WASH</td>
<td>LBB-0/DAOA-0000/Win/NGO/0000</td>
<td>ACF</td>
<td>Zero Snow Storm - Life-Saving Emergency Response and Call for Proposals</td>
<td>211,024.33</td>
<td>Implementation &amp; Reporting</td>
<td>02-Feb-2015</td>
<td>02-Aug-2015</td>
<td>Version(2)</td>
<td>Project Log</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td>Food Security</td>
<td>LBB-0/DAOA-0000/Call for Proposals/FS/NGO/0000</td>
<td>ACTED</td>
<td>Improving access to nutritious and diverse fresh foods for vulnerable populations in Beiruit and Mount Lebanon</td>
<td>250,000.00</td>
<td>Under HC Endorsement</td>
<td>01-Aug-2015</td>
<td>31-Jul-2016</td>
<td>Due Diligence approved</td>
<td>Project Log</td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td>Basic Assistance (50%), Livelihood (23%), Social</td>
<td>LBB-0/DAOA-0000/Call for Proposals/MA-LH-SS/NGO/0000</td>
<td>AIC</td>
<td>test</td>
<td>249,269.12</td>
<td>To be deleted</td>
<td>16-May-2015</td>
<td>14-Sep-2016</td>
<td>Due Diligence approved</td>
<td>Project Log</td>
<td></td>
</tr>
</tbody>
</table>

Open up the project proposal and go to the Documents tab. Click on the ‘Add Document’ button.
Next a 'Upload Document' window will pop-up;

Select Category (required – Select the document category type), Please note when uploading a Grant Agreement, please use **Project Signed Documents** as the Category.

Attach Document (Required – locate the document on your computer)

Leave Document comments (optional), then click the 'Upload' button.
Then you will receive a 'Upload Status' message, in this pop-window it will ask if you want to 'Exit' or 'Continue Upload'. If it is only this one document you are uploading you may press 'Exit'. If you have more supporting documents to upload, click on 'Continue Upload'. 
After a successful upload, the Grant Agreement will appear at the bottom of the Document Page.

Please note, that once a document has been uploaded, you have the option to View, Edit, or Delete the document.

What are the steps in signature process Top

If the Grant Agreement is ready to be signed by the Humanitarian Coordinator (HC), please click on the 'Send to HC Signature' button.
Next, a message will appear to ask ‘Are you sure to ‘Send to HC Signature’?, click Yes if you are sure. Please note, you also have the option to leave comment here as well.
Next, you will see that the project has been moved to the **HC Final Approval and GA Signature** phase. HC should be notified that the project is ready for their approval and GA signature.
**Final HC Approval**

**What is Final HC Approval**

Final HC Approval is the final opportunity for the HC to approve or reject a project proposal after it has completed the technical review, and prior to the point that a Grant Agreement has been submitted to the Implementing Partner for their signature. During the **HC Final Approval and GA Signature phase**, the HC can review the project proposal, make comments, and upon satisfaction can sign the attached Grant Agreement and forward to the Implementing Partner for this signature.

**How HC approves project proposal**

**Humanitarian Coordinator:**

Upon receiving notification that a project proposal has entered the 'HC Final Approval and GA Signature' phase, the HC or Deputy Regional HC is to log into GMS. On the HC’s home page, they will be in the **Project Overview tab**. Within the **Project Overview tab**, locate the project by clicking on the project code or by locating it through the filtering options provided.
Click on the Edit icon next to the desired project,
Upon opening the project proposal, the HC can view the project proposal by going through every enclosed tab. To retrieve the Grant Agreement, go to the Documents tab.
Upon entering the Documents tab, you should see the Grant Agreement at the bottom of this page. If not, contact your HFU.
Next to the Grant Agreement in the Action column, this is a 'View' hyperlink, click on 'View'.

Next a pop-up window will appear, with the grant agreement attached at the lower left corner of this pop-up window.
Open the Grant Agreement, review the document.

Print, Sign, Scan and Save the signed agreement to your computer.

Upon re-entering GMS, you will come back to this same location (within the project proposal > document tab). When you are ready to upload your signed Grant Agreement, click on 'Add Document'.
Next a 'Upload Document' window will pop-up

Select Category (required – Select the document category type), Please note when uploading a Grant Agreement, please use Project Signed Documents as the Category.

Attach Document (Required – locate the document on your computer)

Leave Document comments (optional), then click the 'Upload' button
Then you will receive a 'Upload Status' message, in this pop-window it will ask if you want to 'Exit' or 'Continue Upload'. If it is only this one document you are uploading you may press 'Exit'. If you have more supporting documents to upload, click on 'Continue Upload'.
After a successful upload, the Grant Agreement will appear at the bottom of the Document Page.

Please note, that once a document has been uploaded, you have the option to View, Edit the document.

If you are ready for the Implementing Partner to sign the Grant Agreement, please click on the 'HC Signed' button.
If you are sure that you wish to sign and move the project forward, press **Yes** in the 'Are you sure to 'HC Signed?' pop-up message. Please also note, you are able to leave comments as well.
Next, you should notice that **the project has been moved to the IP counter-signature stage**. The Implementing Partner should automatically receive an email notification, informing them that the Grant Agreement is ready for their signature.

**Note:** All project tabs (except Documents) will automatically be locked when the project proposal is sent to the IP for counter-signature to make sure the IP cannot do any changes after the GA has been generated.

If you have approved the Project Proposal or Grant Agreement in error, please contact HFU immediately.
How HC rejects project proposal

Upon receiving notification that a project proposal has entered the 'HC Final Approval and GA Signature' phase, the HC or Deputy Regional HC is to log into GMS. On the HC’s home page, they will be in the Project Overview tab. Within the Project Overview tab, locate the project by clicking on the project code or by locating it through the filtering options provided.

Tasks Overview

[Image of tasks overview]

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Click on the Edit icon next to the desired project,
Upon opening the project proposal, the HC will see two options to choose from. **HC Rejected OR HC Signed.**

If the HC wishes to reject the project proposal, **click on the 'HC Rejected' button.**
How to approve on behalf of HC in GMS

A Deputy Humanitarian Coordinator can act on behalf on the Humanitarian Coordinator. Or HFU can contact their respective FCS Desk Officer to ask for assistance in this matter.

Once the necessary user access is granted, following the directions in the How HC approves project proposal

IP GA Counter Signature Top

When the Grant Agreement is ready for the Implementing Partner’s signature, they should receive an email notification indicating such.

Once notified, the Implementing Partner is to log onto GMS,
Once on the Home Page, the Implementing Partner should see the particular project in their Projects section. Next to the project that is ready for IP GA Counter Signature, you should see an Edit icon, in addition, you should see that the Project Status of the project is 'IP counter-signature'.

Click on the Edit Icon.

**Note:** All project tabs (except Documents) will automatically be locked when the project proposal is sent to the IP for counter-signature to make sure the IP cannot do any changes after the GA has been generated.

Go to the Documents tab, this is where you will find the Grant Agreement. *Please note,* the Grant Agreement should have first been signed by the Humanitarian Coordinator, if that is not the case, please contact HFU immediately.
Open the Grant Agreement (Chances are it is the second Grant Agreement that has been attached. Please ensure the HC signature is included), review the document.

Print, Sign, Scan and Save the signed agreement to your computer.

Upon re-entering GMS, you will come back to this same location (within the project proposal > document tab). When you are ready to upload your signed Grant Agreement, click on ‘Add Document’.

Next a ‘Upload Document’ window will pop-up;

Select Category (required – Select the document category type), Please note when uploading a Grant Agreement, please use Grant Agreement as the Category.

Attach Document (Required – locate the document on your computer)

Leave Document comments (optional)

Please confirm the following (required), Until all the checkboxes are checked, the system doesn't let the implementing partner proceed, then click the 'Upload' button.
Then you will receive a 'Upload Status' message, in this pop-window it will ask if you want to 'Exit' or 'Continue Upload'. If it is only this one document you are uploading you may press 'Exit'. If you have more supporting documents to upload, click on 'Continue Upload'.
After a successful upload, the Grant Agreement will appear at the bottom of the Document Page.

Please note, that once a document has been uploaded, you have the option to View, Edit the document.

Once you are satisfied that you have successfully uploaded your Grant Agreement, press **Send to Final Signature and Disbursement**.
If you are sure that you want to submit your project proposal with the your attached signed Grant Agreement, press Yes in the 'Are you are to 'Send to Final Signature and Disbursement?' pop-up window.
Next, you should notice that **the project has been pushed to IP Submission of GA to HFU phase**. HFU should be notified automatically of your action.
### HFU:

After the Implementing Partner has signed the Grant Agreement, it should come back to HFU. Please review and ensure all is satisfactory, including all relevant signatures are present from HC and the Implementing Partner. Once reviewed and you want to send the project and Grant Agreement to OCHA Finance for their review, EO Agreement Clearance and initiation of the Disbursement process, press 'Send to FCS for final signature.'
If you are sure you wish to move this project forward to OCHA Finance, press **Yes** in the 'Are you sure to Send to FCS for final signature'? pop-up window.
Next you should see that the project has been moved to the ‘Submission of GA to FCS’ phase. OCHA Finance should be receive an email notification of this action.
How to get Grant Agreement cleared with EO  

OCHA Finance should receive an email notification when a Grant Agreement is ready for EO Agreement Clearance.

**Please log into GMS.**

**Locate the project by looking up the project code or selecting through the filtering options made available.**

Once you have located the desired project, **click on the View icon next to the project.**
Once you have opened the project, go to the Documents tab.

You should see a series of signed Grant Agreement at the bottom of the Documents Page.
At the point that the Grant Agreement has reached OCHA Finance for the EO Agreement Clearance, the Grant Agreement should have been signed by the HC as well as the Implementing Partner. If it has not, notify HFU immediately – Make Comments on the Project Proposal and press 'Send Comments on GA to HFU. If you have any further concerns or questions, also submit your comments in the Project Proposal and press 'Send Comments on GA to HFU'.

If these signatures are present, and your review of Grant Agreement is satisfactory, please print out the GA and obtain the EO's physical signature,

If you are sure that you are ready to submit the GA for EO signature, press Yes in the 'Are you sure to "Submit GA for EO signature"? pop-up window that appears.
Upon receiving the EO's signature, upload the signed Grant Agreement with the HC, IP and EO's signatures in the Documents tab of the Project Proposal.

Open the Grant Agreement (Chances are it is the three Grant Agreement that has been attached. Please ensure the IP and HC signature is included), review the document.

Print, Sign, Scan and Save the signed agreement to your computer.

Upon re-entering GMS, you will come back to this same location (within the project proposal > document tab). When you are ready to upload your signed Grant Agreement, click on 'Add Document'
Next a 'Upload Document' window will pop-up;

**Select Category** (required – Select the document category type), **Please note** when uploading a Grant Agreement, please use **Project Signed Documents** as the Category.

**Attach Document** (Required – locate the document on your computer)

**Leave Document comments** (optional), then click the 'Upload' button.

Then you will receive a 'Upload Status' message, in this pop-window it will ask if you want to 'Exit' or 'Continue Upload'. If it is only this one document you are uploading you may press 'Exit'. If you have more supporting documents to upload, click on 'Continue Upload'.
After a successful upload, the Grant Agreement will appear at the bottom of the Document Page.

Please note, that once a document has been uploaded, you have the option to View, Edit or Delete the document.

Once you are satisfied that you have successfully uploaded your Grant Agreement, press **GA counter-signed**.
If you are sure you wish to move the project forward to the Disbursement stage, press **Yes** when the ‘Are you sure to ‘GA counter-signed’? pop-up window appears.
Next, you see that **the project has been pushed to the Disbursement phase**. The OCHA Finance – Disbursement Officer should receive an email notification that this project is ready for disbursement processing.
After all the required signatures have been attached to the Grant Agreement, upon the last signature of the EO, the project should have been forwarded for Disbursement processing. The Implementing Partner and HFU should be notified when the Disbursement processing is complete.
The project information saved successfully.

<table>
<thead>
<tr>
<th>Cover Page</th>
<th>Background</th>
<th>Logical Framework</th>
<th>Work Plan</th>
<th>M &amp; R Details</th>
<th>Other Info</th>
<th>Budget</th>
<th>Locations</th>
<th>Documents</th>
<th>Project Tracking</th>
<th>Project Admin</th>
<th>Timelines</th>
<th>Disbursement</th>
</tr>
</thead>
</table>

**Project Title:**
Emergency lifesaving food assistance for crisis affected vulnerable households in Yemen

**Planned project duration:** 3 months

**Fund Project code:** YEM-00/0000/FA/FS/ING/0000

**Planned Start Date**
- As per Agreement: 01/05/2015

**Actual Start Date**
- As per Agreement: 01/06/2015

**Primary cluster:** Food Security

<table>
<thead>
<tr>
<th>Sub cluster</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td>100</td>
</tr>
</tbody>
</table>

**Allocation Type Category:**
- Select

**Project budget in US$**
- 1,022,814.78 (given automatically from budget tab. Includes PSC and Audit Cost)

**Actual End Date**
- As per Agreement: 31/08/2015

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