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KENYA VETERINARY ASSOCIATION (KVA)

GRANTS ADMINISTRATION AND MANAGEMENT POLICY

2026

DOCUMENT CONTROL

Field	Details
Document title	KVA Grants Administration and Management Policy
Document owner	KVA Secretariat (Accounts Office and Project Management Team)
Approving authority	National Executive Council (NEC)
Version	1.0
Status	NEC Adopted
Effective date	14/11/2026
Applies to	NEC members, BEC members, committee, Branch, TWG, and task force members, office bearers, staff, interns, volunteers, consultants and any other person who seeks, manages or uses grant funds on behalf of KVA.
Review cycle	Every three years from the effective date, on review of the Financial Management and Procurement Manual, or earlier following material legal, funder or organisational changes.

VERSION CONTROL

Version	Date	Summary of changes	Approved by
1.0	14/11/2026	Initial policy for approval	NEC

RELATED KVA POLICIES AND PROCEDURES

- Financial Management and Procurement Manual (2013) – referred to in this Policy as the “FPM”
- Board Manual (2018)
- Staff Manual (2019)
- Conflict of Interest Policy
- Financial Crime Prevention Policy and Procedures
- GEDI and Safeguarding Policy
- Data Protection Policy and Procedures
- Records Management and Retention Policy
- Health, Safety and Wellbeing Policy and Procedures
- Whistleblowing and Non-Retaliation arrangements
- Allowance and Rates Schedule, as approved by the NEC

ABBREVIATIONS AND ACRONYMS

Abbreviation	Meaning
BEC	Branch Executive Committee
CEO	Chief Executive Officer
FPM	KVA Financial Management and Procurement Manual (2013)
DPIA	Data Protection Impact Assessment
GEDI	Gender Equality, Diversity and Inclusion
IACUC	Institutional Animal Care and Use Committee
PMT	Project Management Team
KES	Kenya Shillings
KRA	Kenya Revenue Authority
KVA	Kenya Veterinary Association
LPO / LSO	Local Purchase Order / Local Service Order
MoU	Memorandum of Understanding
NACOSTI	National Commission for Science, Technology and Innovation
NEC	National Executive Council
PI	Principal Investigator

OPERATIONAL DEFINITIONS

Term	Definition
Grant	Funds or other resources provided by a funder to KVA, usually non-repayable, to carry out an agreed programme, project or activity under specified terms and conditions.
Funder	A government department, development partner, foundation, trust, corporation, institution or individual that provides a grant, also called a donor or sponsor.
Grant agreement	The contract, notice of award, letter of grant, MoU or other instrument setting out the terms and conditions of a grant.
Solicitation	A call for proposals, request for applications or other document setting out requirements for applying for funding.
Pre-award	Activities before a grant is awarded, from identification of an opportunity to submission of a proposal.
Post-award	Activities after a grant is awarded, from acceptance to close-out.
Principal Investigator (PI) / Project Lead	The person designated by KVA to lead the technical implementation of a grant and responsible for its success.
Key personnel	The PI and any other person named as key or senior personnel in a grant application or agreement.
Sub-award / sub-recipient	Funds passed by KVA under a grant to a partner organisation (the sub-recipient) to carry out part of the project.
Direct costs	Costs that can be specifically identified with and charged to a particular grant.

Term	Definition
Indirect costs (overheads)	Costs incurred for common or joint objectives that cannot easily be identified with a particular grant, also called facilities and administrative costs.
Cost-sharing / matching	The portion of project costs met by KVA or a third party rather than by the funder, in cash or in kind.
Institutional Animal Care and Use Committee (IACUC)	A committee that reviews and approves protocols for the use of animals in research, testing, teaching or training to ensure humane treatment and compliance with animal welfare standards. An equivalent animal ethics committee may perform this role.
Ethics review committee	A committee accredited by NACOSTI (or an equivalent body outside Kenya) that reviews and approves research involving human participants.
National (NEC) grant	A grant applied for by the NEC, through the Secretariat, in the name of KVA (Category A).
Branch grant	A grant applied for by a KVA branch through its Branch Executive Committee, in the name of KVA, and implemented by the branch under NEC oversight (Category B).
Individual Member grant	A grant applied for by an individual KVA member as Principal Investigator, with KVA as the applicant or host institution, and implemented under NEC oversight (Category C).
KVA Grants Account	The designated KVA bank account into which all grant funds are received.
Grant vote	The dedicated vote (account code) created under the KVA Grants Account for a single grant, through which all its income and expenditure are recorded.
Grant management fee	The charge levied on every grant to recover KVA's indirect costs of hosting and managing it (Section 16).
Restricted funds	Funds that may be used only for the purposes specified by the funder.
Close-out	The process by which KVA and the funder confirm that all work, reporting and financial obligations of a grant have been completed.

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1. POLICY STATEMENT

The Kenya Veterinary Association (KVA) is committed to mobilizing grants and other external funding that advance its mission, while managing every shilling it receives with the highest standards of integrity, accountability, transparency and value for money. This applies equally to grants sought at national level by the NEC, grants sought by KVA branches and grants sought by individual members through KVA. All such grants are awarded to and held by KVA as an institution, not by individuals or branches, attract the KVA grant management fee, and shall be sought, accepted, implemented, reported on and closed out in accordance with this Policy, the KVA Financial Management and Procurement Manual, the laws of Kenya and the terms of each funding agreement.

2. BACKGROUND

KVA is a membership organisation registered under the Societies Act (Cap. 108, Laws of Kenya). It exists to safeguard the interests and welfare of its members, maintain the honour and dignity of the veterinary profession in Kenya, promote the health and welfare of all animals, further the advancement of veterinary science and practice, and exchange veterinary information with national and international bodies.

KVA's work is increasingly supported by grants from development partners, government agencies, foundations, research institutions and the private sector. The KVA Financial Management and Procurement Manual (2013) gives only limited guidance on donor funds (FPM §4.3 and §9.4). This Policy provides a framework for the full grant life-cycle and, pending review of the FPM, contains the grant-specific financial provisions that the FPM does not yet cover.

3. CORE VALUES

Grants administration and management at KVA shall be guided by the following core values:

i) **Integrity** – honesty and ethical conduct in the use of funds and in reporting results;

ii) **Accountability** – every grant is used only for its approved purpose and is fully accounted for;

iii) **Transparency** – grant decisions, budgets, reports and conflicts of interest are documented and open to appropriate scrutiny;

iv) **Professionalism** – grant work reflects the standards expected of the veterinary profession, including scientific rigour and animal welfare;

v) **Stewardship and value for money** – resources are used economically, efficiently and effectively; and

vi) **Inclusivity** – grant opportunities are shared fairly across members, branches and committees, consistent with the KVA GEDI and Safeguarding Policy.

4. CITATION

This Policy may be cited as the **"Kenya Veterinary Association Grants Administration and Management Policy, 2026"**.

5. RATIONALE OF THE POLICY

The NEC, KVA's branches and individual members increasingly attract external funding. Without a common framework, grants may be pursued in KVA's name without approval, under-recover KVA's costs, be mixed with general funds or miss reporting and audit obligations. This Policy streamlines grants administration, protects KVA's name and assets, and meets funders' due-diligence expectations.

6. SCOPE OF THE POLICY

This Policy applies to all grants, contracts, cooperative agreements, sub-awards, restricted donations, sponsorships tied to agreed deliverables and in-kind support received or applied for in the name of KVA, and to every KVA member (including a member leading an Individual Member grant), every NEC or BEC member, staff member, volunteer, consultant or other person who seeks, manages or uses grant funds on behalf of KVA.

The Policy covers all three categories of KVA grants described in Section 9.1 — National (NEC) grants, Branch grants and Individual Member grants — which are managed in the same way except where this Policy provides otherwise. A grant awarded personally to a member, and not administered through KVA, is outside the scope of this Policy unless KVA is named in it or its name, resources or facilities are used.

For avoidance of doubt, the Policy covers the following stages of the grant life-cycle:

a) Identification of funding opportunities;
b) Proposal development, internal review and submission;
c) Award negotiation and acceptance;
d) Financial set-up of the grant;
e) Grant implementation, financial management, monitoring and reporting; and
f) Grant close-out and post-award obligations.

Unrestricted donations, membership subscriptions and general sponsorship income are governed by the FPM; however, the funder due-diligence requirements in Section 12 of this Policy apply to all external funders.

7. OBJECTIVES OF THE POLICY

i) To establish a framework for grant mobilization and management within KVA;
ii) To create a single platform to track and monitor all grants held by KVA;
iii) To build strategic partnerships with government, development partners, academic and research institutions and industry, with the aim of mobilizing funds for KVA's strategic priorities;
iv) To link grant-funded projects to the FPM, other KVA policies and the laws of Kenya;
v) To define the roles and responsibilities of the NEC, Branch Executive Committees, Principal Investigators, the Accounts Office, the Project Management Team and other KVA officers in mobilising, administering and managing grants; and
vi) To ensure that KVA recovers the full cost of hosting and managing grants.

8. STANDARD OPERATING PRINCIPLES

The management of grants shall not contradict the KVA Constitution, the FPM, other KVA policies or the Laws of Kenya. In particular:

a) All grants — National, Branch, TWG or Individual Member — are made to KVA. No person or branch may apply for, sign or receive a grant in KVA's name without the approvals in this Policy;
b) Every intended application shall be notified to the Project Management Team and entered in the KVA Grants Register (Annex 4) before submission;
c) Grants shall be included in the KVA annual budget (FPM §11.1) or presented to the NEC as supplementary budget items, and the NEC shall approve each grant and its conditions before funds are committed;

d) All grant funds shall be received into the KVA Grants Account under a dedicated grant vote for each grant (Section 14.2.1); no grant funds shall be received into a branch or personal account;

e) Every grant shall attract the KVA grant management fee (Section 16);

f) **All contracts coming through KVA shall be signed by the President as the overall signatory**, after review by the KVA Governance Committee and its Legal Team as maybe deemed necessary (Sections 11.2 and 11.9);

g) No grant-funded activity involving animals or human participants shall begin until the required ethical approval has been obtained (Section 14.2.10);

h) Assets acquired with grant funds are KVA assets unless the grant agreement provides otherwise (Section 14.2.4);

i) Staff and consultants assigned to a grant shall receive a KVA letter or contract stating their role and the time charged to the grant; and

j) Each grant close-out report shall be tabled before the NEC.

9. CATEGORIES OF GRANTS AND GRANT SUPPORT STRUCTURES

9.1 Categories of Grants

KVA grants fall into three categories. They are treated similarly — all are held by KVA, received into the KVA Grants Account under a dedicated grant vote, managed through KVA's financial systems, subject to this Policy and the FPM, and charged the grant management fee — but differ in who applies, who leads implementation and how oversight is exercised:

Category	Who applies	Who is in charge of implementation	Oversight
A. National (NEC) grants	The NEC, through the Secretariat, in the name of KVA	A Project Lead designated by the NEC, supported by the Project Management Team	NEC directly
B. Branch/TWG grants	A KVA branch, through its Branch Executive Committee (BEC), in the name of KVA, or the TWG Convener	The BEC/TWG, through a Project Lead it designates, supported by the Project Management Team	NEC, with the BEC/TWG reporting to it
C. Individual Member grants	An individual KVA member in good standing, with KVA as the applicant or host institution	The member as Principal Investigator (PI), supported by the Project Management Team	NEC, with the PI reporting to it

In this Policy, "PI/Project Lead" means the person leading implementation of a grant in any category. Where a provision applies only to one category, this is stated.

9.2 Project Management Team and Accounts Office

KVA has a Project Management Team (PMT) within the Secretariat, comprising the Project Manager, Project Coordinator(s), Project Assistants and such other staff as the CEO assigns. Working with PIs/Project Leads and BECs/TWGs, the PMT supports all grants: it shares funding opportunities; maintains KVA's registrations on funder platforms and its institutional document pack; supports proposal preparation; coordinates funder and partner due diligence; maintains the Grants Register, Funder

Reporting Calendar and grant files; supports inception, implementation, monitoring and reporting; and coordinates close-out.

KVA does not have a separate grants office. The Accounts Office, led by the Accountant, is responsible for all grant monies, under the oversight of the Hon. Treasurer and the NEC (Section 11.6).

9.3 NEC Oversight and Project Steering Committees

The NEC exercises oversight of all three categories of grants. It may act through its Governance Sub-committee or another sub-committee constituted under the KVA Board Manual, which shall make recommendations to the NEC unless its terms of reference delegate a decision to it. A grant exceeding KES 5 million, or one whose funder requires its own governance structure, may have a Project Steering Committee appointed by the NEC and reporting to it.

10. KVA GRANTS MANAGEMENT STRUCTURE

Grants are governed by the NEC, administered through the Secretariat under the Chief Executive Officer and overseen financially by the Hon. Treasurer (FPM §1.4). Grant funds are managed by the Accounts Office through the KVA Grants Account and grant votes, and implementation is supported by the PMT. BECs (for Branch grants), TWGs (for TWG Grants) and PIs (for Individual Member grants) implement their grants through these national systems under NEC oversight. The roles of each are set out in Section 11.

11. ROLES AND RESPONSIBILITIES IN GRANTS ADMINISTRATION AND MANAGEMENT

11.1 National Executive Council

The NEC shall approve this Policy, the submission and acceptance of grants in all three categories and their conditions, grant budgets and any cost-sharing; exercise oversight of Branch and Individual Member grants; designate Project Leads for National grants and appoint any Project Steering Committee; and receive quarterly, audit and close-out reports for all grants.

11.2 The President – Overall Signatory

The President is the overall signatory of all contracts coming through KVA — grant agreements, contracts, memoranda of understanding, sub-award, consortium and other grant-related agreements — for all three categories of grants. No other officer, BEC, PI or staff member may sign such a contract on behalf of KVA. A contract shall go to the President only after the grant or contract has been approved under this Policy and reviewed by the Governance and Legal Team, whose written review shall accompany it. Where the President is unavailable for an extended period or has a conflict of interest, the Vice-President, or another NEC member designated by the NEC, shall sign after the same review. The signed original shall be filed with the PMT and a copy kept by the Accounts Office.

11.3 Chief Executive Officer

The CEO is the accounting officer for grants and is responsible for implementing this Policy. The CEO shall supervise the PMT and the Accounts Office in grant matters; ensure every contract is reviewed by the Governance Committee and its Legal Team before it goes to the President; issue appointment letters to grant staff and consultants; ensure reports are submitted on time; and administer conflict of interest declarations in grant operations under the KVA Conflict of Interest Policy.

11.4 Hon. Treasurer

Consistent with the Hon. Treasurer's responsibility for all financial affairs of the Association under the Board Manual and FPM §1.4, the Hon. Treasurer shall oversee the Accounts Office's management of the KVA Grants Account and grant votes; serve as a bank signatory; approve grant budgets and financial

reports before submission to funders; authorize receipting of grant funds (FPM §4.3); and present grant performance, by grant vote, in the monthly budget reports to the NEC (FPM §11.2). In the absence of a CEO, the Hon. Treasurer will assume the responsibilities under 11.3.

11.5 Hon. Secretary

The Hon. Secretary shall ensure that NEC decisions on grants are recorded in its minutes and executed in accordance with the Board Manual.

11.6 Accounts Office

The Accounts Office, led by the Accountant, is responsible for all grant monies under the oversight of the Hon. Treasurer and the NEC. It shall open a grant vote for each grant and communicate the vote number; receipt and post grant funds (Section 14.2.1); process payments and imprest under the FPM and the grant agreement; deduct the grant management fee (Section 16); prepare monthly vote ledgers, reconciliations and budget-versus-actual reports; prepare grant financial reports for the Hon. Treasurer; and support grant audits.

11.7 Principal Investigator / Project Lead

The PI/Project Lead is responsible for the successful implementation of the grant, including: complying with all terms of the grant agreement; preparing the work plan, procurement plan and cash-flow forecast; briefing the project team and partners on grant conditions; acting as technical contact with the funder while keeping the PMT and Accounts Office informed; ensuring expenditure is necessary, allowable and documented; obtaining required approvals before activities begin; initiating budget modifications and extensions through the PMT and Accounts Office; and preparing technical reports.

For Individual Member grants, the PI shall report to the NEC through the PMT, remain a KVA member in good standing throughout the grant, not receive grant funds into a personal account, and implement the grant through KVA's financial and procurement systems. If the PI ceases to be a member in good standing, the PMT shall notify the PI and the CEO in writing, and the PI shall regularise their membership within thirty (30) days. Until this is done, no further fund requests or PI payments shall be processed for the grant. If the PI does not regularise their membership, the NEC may, with the funder's consent where required, appoint a replacement PI, and KVA shall continue to manage the grant to completion.

11.8 Branch Executive Committees and TWGs

The BEC is in charge of Branch grants, and the TWG is in-charge of the TWG grants, both under NEC oversight. The BEC and TWG shall endorse the intention to apply (Section 13.2); designate a Project Lead; ensure implementation complies with the grant agreement, this Policy and the FPM; approve work plans and requests for funds from the grant vote; ensure expenditure and imprest are properly accounted for; submit quarterly reports to the NEC through the PMT; and report any irregularity or risk to the NEC without delay. Where a BEC/TWG fails to submit a quarterly report when due, the PMT shall send a written reminder; if the report is still not received within fourteen (14) days, no further fund requests for that grant shall be processed until it is received, and repeated failure shall be referred to the NEC for action under Section 17. Branches, committees, TWGs and task forces seek grants as National grants through the NEC unless the NEC directs otherwise.

11.9 Governance and Legal Team

The KVA Governance and its Legal Team, as constituted by the NEC and including KVA's legal adviser, shall review every contract coming through KVA — including grant, sub-award, consortium, data-sharing, material transfer, consultancy and supplier contracts under grants — before it goes to the President. The review covers consistency with the KVA Constitution, Board Manual and policies; the required approvals (including endorsement for Branch and TWG grants); legal risk; funder conditions on safeguarding, anti-

fraud, audit and records; and conflicts of interest. The Team shall record its review and recommendation on the Contract Review and Signature Sheet (Annex 9).

11.10 Audit

The external auditor shall audit grants as part of KVA's annual financial statements, and specific grant audits shall be carried out where the funder requires them. The NEC, through its Governance Sub-committee (until the NEC establishes an audit committee or internal audit function), with the Hon. Treasurer reporting the status of audit recommendations to each quarterly NEC meeting, shall have overall responsibility for monitoring the implementation of audit recommendations on grants.

11.11 Grant-funded Staff

PMT and Accounts Office posts may be funded from the grant management fee or, where the funder allows, as direct costs. Project staff shall be recruited under the KVA Staff Manual (including its nepotism provisions) and the terms of the grant, on contracts that do not extend beyond the funded period unless other funding is confirmed.

12. PERMISSIBLE GRANTS AND FUNDER DUE DILIGENCE

To protect its independence, reputation and legal standing, KVA shall not solicit or accept grants, sponsorships or donations:

a) From organisations or individuals designated or linked to terrorism or terrorist financing, or listed on applicable United Nations or Government of Kenya sanctions lists;

b) From organisations prohibited from operating in Kenya;

c) Where the source of funds is suspected to be the proceeds of crime;

d) That are aimed at promoting social disorder, or that promote racial, religious, gender or any other form of discrimination;

e) That impose conditions contrary to animal welfare, professional ethics or the laws of Kenya; or

f) That impose obligations KVA cannot reasonably meet, or that expose KVA to unmanageable financial or reputational risk.

The PMT, with the Accounts Office, shall carry out proportionate due diligence on every new funder before an application is submitted, in accordance with the KVA Financial Crime Prevention Policy and Procedures (including its section on donations, sponsorships, grants and fundraising), including verifying the funder's identity, screening it against sanctions lists, and identifying any reputational or conflict-of-interest concerns. Grants from commercial entities with a direct interest in KVA's advocacy or professional standards (for example manufacturers or distributors of veterinary medicines, vaccines, feeds or equipment) shall be referred to the NEC for approval.

Gifts and hospitality connected with grants are governed by the Financial Crime Prevention Policy and Procedures, which prohibits them during active grant selection and award processes where they could create improper influence, and requires gifts above KES 20,000 to be declined and recorded in the Gifts and Hospitality Register.

13. PRE-AWARD MANAGEMENT PROCESSES

Pre-award processes cover all activities from the identification of a funding opportunity to submission of a proposal as per the Grants Administration and Management Standard Operating Procedure

13.1 Registration on Funding Platforms

Many funders require institutions to register on their grants platforms before submitting proposals. Registrations shall be made in the name of KVA and managed by the PMT. Where a branch or PI initiates a registration, the login credentials shall be shared with the PMT. Institutional credentials shall not be held exclusively by any individual.

13.2 Solicitation and Intention to Apply

The PMT shall share suitable funding opportunities with the NEC, branches and members. Any intention to apply for funding in the name of KVA, or to join a consortium in which KVA will be named, shall be notified to the PMT using the Grant Opportunity Approval and Go/No-Go Form (Annex 1) at least fifteen (15) working days before the submission deadline, or as soon as possible for opportunities with shorter deadlines. The approval route depends on the category of grant:

Category	Initiated and endorsed by	Approval to proceed
A. National (NEC) grants	The NEC or the Secretariat on its behalf	CEO, or the NEC where the conditions below apply
B. Branch/TWG grants	Project Lead, endorsed by the BEC/TWG (minute or written resolution)	NEC (or the CEO under authority delegated by the NEC)
C. Individual Member grants	Member as PI	NEC (or the CEO under authority delegated by the NEC)

The Go/No-Go assessment considers strategic fit with KVA's mission, eligibility, KVA's capacity to host and implement the grant, cost-sharing requirements, risk and the likelihood of success. In every category, the NEC shall decide where the proposal requires cost-sharing, new staff positions, a sub-award to a third party, or a grant value above KES 5 million. Notification also prevents multiple applications from KVA to a funder where these are not permitted.

13.3 Proposal Development

The designated PI/Project Lead is responsible for preparing the proposal in accordance with KVA policies and the funder's guidelines, and for the quality and completeness of the proposal and the suitability of the project team. The PMT shall support proposal development by providing checklists, templates and the institutional document pack, and by coordinating budget preparation with the Accounts Office. For Branch/TWG grants, the BEC/TWG shall review the proposal before it is submitted for approval.

Grant budgets shall:

a) Include all direct project costs, costed realistically using current market prices and the allowance, per diem and remuneration rates approved by the NEC under the KVA Staff Manual and the KVA Allowance and Rates Schedule;

b) Include the KVA grant management fee at the rate set out in Section 16, or the maximum indirect cost rate allowed by the funder;

c) Include costs of audit, bank charges, statutory deductions, monitoring and evaluation, and close-out where allowed by the funder;

d) Include the costs of safeguarding, GEDI, data protection and health and safety measures (for example training, PPE, first aid, insurance and accessibility) where these are needed;

e) Be prepared in Kenya Shillings, or in the funder's currency with the exchange rate used stated;

f) Use the KVA vote heads (FPM §2.3), mapped to the funder's budget categories; and

g) Comply with Kenyan tax law, including withholding tax and VAT obligations.

Any cost-sharing, matching or in-kind contribution by KVA shall be clearly identified with its source and requires prior approval by the NEC. Proposals involving animals, human participants, personal data, biological materials or field research shall plan and budget for the ethical and regulatory approvals required under Section 14.2.10, including the time needed to obtain them.

Proposals shall also address, where relevant, gender equality, diversity and inclusion and safeguarding (GEDI and Safeguarding Policy), personal data (Data Protection Policy and Procedures) and safety risks (Health, Safety and Wellbeing Policy and Procedures).

13.4 Internal Review and Proposal Submission

The complete proposal shall be submitted to the PMT at least seven (7) working days before the funder's deadline for administrative, budgetary and compliance review. The review covers completeness, accuracy, adherence to the funder's guidelines, inclusion of the grant management fee, legal and policy compliance, and KVA's ability to meet any commitments. Final approval shall be recorded on the Final Approval for Proposal Submission Form (Annex 2), signed by the PI/Project Lead, the BEC Chairperson/TWG Convener (for Branch/TWG grants), the PMT, the Accountant and Hon. Treasurer (for the budget) and the CEO (if one is available).

Proposals shall be submitted by, or with the knowledge of, the PMT, and a copy of the submitted version shall be filed with it. KVA may decline to accept an award arising from a proposal that was not approved before submission.

13.5 Partnerships and Sub-contracting

KVA may apply for grants in partnership with other institutions, as lead applicant or as partner. KVA shall carry out due diligence on its partners using the Sub-recipient Due Diligence Checklist (Annex 6) and the Third-Party Integrity Due-Diligence Checklist in the Financial Crime Prevention Policy and Procedures. Teaming or consortium agreements setting out roles, budgets, intellectual property and reporting shall be reviewed by the Governance and Legal Team and signed by the President before or upon award. Where KVA is a partner, the lead institution's terms shall be reviewed under Section 14.1 before KVA commits to them.

13.6 Relationship with the Financial Management and Procurement Manual and Other KVA Policies

This Policy shall be implemented together with the KVA Constitution, the FPM and the other KVA policies listed at the front of this document. Where this Policy requires an action covered by another KVA policy, that policy shall be followed and the action recorded on the grant file.

Where rules at different levels apply to a grant, the following order of precedence applies: (i) The Constitution of Kenya and The Laws of Kenya; (ii) the KVA Constitution; (iii) the grant agreement; (iv) this Policy; and (v) the FPM and other KVA policies. Where the rules do not conflict, all of them apply and **the most restrictive rule shall be followed**.

The FPM governs KVA's general accounting, cash, payment, procurement, stores, asset, payroll, reporting and budgeting procedures, and those procedures apply to grants unless this Policy or the grant agreement provides otherwise. This Policy contains certain grant-specific financial provisions that the FPM (2013) does not yet cover. These are listed in Annex 8 and shall be transferred to the FPM when it is next reviewed.

14. POST-AWARD MANAGEMENT PROCESSES

Post-award processes begin when KVA receives notification that a funder intends to fund an activity, and end at close-out when the final reports and other deliverables have been submitted to and accepted by the funder.

14.1 Negotiating and Accepting the Award

The PI/Project Lead, supported by the PMT, shall lead technical negotiation of the award. Before acceptance, the PMT shall coordinate a review of the terms and conditions covering scope, budget, payment terms, reporting, audit, intellectual property, data protection, publication, safeguarding, anti-fraud and anti-terrorism clauses, liability, indemnity, termination, procurement and asset rules, by the Governance and Legal Team (Section 11.9). The PMT shall present the award to the NEC (or the CEO under delegated authority) for approval using the Grant Award Acceptance and Set-up Checklist (Annex 3); for Branch grants, the BEC's endorsement shall accompany the submission. Once approved and reviewed, the agreement shall be signed by the President as the overall signatory in accordance with Section 11.2 — including for Branch/TWG and Individual Member grants, which are signed on behalf of KVA — and the signed original filed with the PMT. A grant is binding on KVA only once these steps have been completed.

14.2 Project Implementation

The PI/Project Lead has overall responsibility for implementing the project. The PI/Project Lead shall hold an inception meeting with the PMT, the Accounts Office, the BEC/TWG (for Branch/TWG grants) and key partners to review the agreement, work plan, budget, reporting calendar and risks; complete the approvals and risk assessments required under Section 14.2.10 before the activities concerned begin; brief the team and partners on their obligations under KVA policies, including the safeguarding code of conduct; and ensure that staff and procurement go through KVA systems.

14.2.1 KVA Grants Account, Grant Votes and Receipt of Funds

> **Financial Manual link:** *FPM §2.2–2.3 (Chart of Accounts), §4.3 (Donor Grants) and §9.4 (Revenue Grant Apportionment).*

a) KVA shall maintain a designated **KVA Grants Account** into which all grant funds, of all three categories, are received. KVA shall not open a new bank account for an individual grant. The KVA Grants Account shall be operated in accordance with the FPM, including its signatory arrangements;

b) Each grant shall be given a **dedicated grant vote** under the KVA Grants Account, so that all its income and expenditure can be separately identified. The approved budget shall be loaded on the vote and its budget lines mapped to the KVA vote heads (FPM §2.3) and to the funder's categories;

c) Funds in a grant vote shall be used only for that grant. No vote shall be overdrawn, and funds shall not be transferred or lent between grant votes, or to KVA's general funds, except for the grant management fee (Section 16) or with NEC approval and the funder's written permission where required;

d) Where a grant agreement makes a separate bank account a mandatory condition of funding, the Accounts Office shall bring this to the NEC, which may authorise a separate account as an exception, with signatories in accordance with the FPM;

e) Grant receipts shall be receipted, posted to the correct grant vote and confirmed against the bank statement in accordance with FPM §4.3. The Accounts Office shall notify the PI/Project Lead, the BEC/TWG (for Branch/TWG grants) and the PMT of every receipt within three (3) working days;

f) Funds received in advance shall be credited to deferred grant income for the grant vote and recognized as income as they are used, in accordance with FPM §9.4;

g) Foreign-currency grants shall be recorded using the closing rate method (FPM §2.2), unless the funder prescribes another method. Exchange gains and losses shall be treated as the grant agreement provides; and

h) Any interest earned on the KVA Grants Account shall be apportioned to grant votes, and used or refunded, as the grant agreements provide.

14.2.2 Sub-awards to Partners

Where a grant requires KVA to pass funds to sub-recipients, the PMT and the Accounts Office shall assess each sub-recipient beforehand (Annex 6); prepare a written sub-award agreement passing down the relevant funder terms and KVA requirements on reporting, audit, procurement, ethics, safeguarding and GEDI, data protection, health and safety and financial crime, for review by the Governance and Legal Team and signature by the President; disburse funds in tranches, releasing each only when the previous one is accounted for; and monitor sub-recipients through reports, reviews and, where risk warrants, field visits or audits.

14.2.3 Procurement

> **Financial Manual link:** *FPM §5 (Procurement) and §6 (Payments).*

Procurement under grants shall follow FPM §5, including the Procurement Request Form, at least three quotations for purchases up to KES 500,000, technical and financial evaluation, LPOs/LSOs and open or restricted tendering above KES 500,000 (FPM §5.2–5.3). In addition:

a) Where the funder's procurement rules are stricter (for example lower thresholds, source and origin rules, or prior approval for specific items), the funder's rules apply;

b) All items procured must be allowable under the grant and provided for in the approved budget;

c) Single-source procurement shall be the exception, justified in writing and approved by the CEO and the Hon. Treasurer;

d) Persons involved in procurement shall declare conflicts of interest before accessing bids, in accordance with the KVA Conflict of Interest Policy;

e) Payments to suppliers shall normally be made to a bank account in the supplier's own name, as required by the Financial Crime Prevention Policy and Procedures;

f) Suppliers and consultants shall be screened against applicable debarment and sanctions lists in accordance with the Financial Crime Prevention Policy and Procedures and any funder requirements; and

g) No person shall offer, solicit or accept any bribe, kickback, gift or favour in connection with grant procurement, in line with the Bribery Act, 2016 and the Financial Crime Prevention Policy and Procedures; bid splitting, collusion and manipulation of specifications or evaluations are prohibited.

14.2.4 Equipment and Property Management

> **Financial Manual link:** *FPM §7 (Stores) and §8 (Fixed Assets).*

Unless the grant agreement provides otherwise, property acquired with grant funds belongs to KVA. Grant-funded assets, including those acquired under Branch/TWG and Individual Member grants, shall be recorded in the KVA fixed assets register (FPM §8.2), with the grant vote, funder, and any restrictions on use or disposal; tagged; and included in the annual physical verification (FPM §8.1). Supplies shall be managed through the stores procedures (FPM §7). The use, transfer, sale or disposal of grant-funded assets during or after the grant shall comply with the funder's requirements, and the funder's prior approval shall be obtained where required.

14.2.5 Financial Management of Grant Funds

> **Financial Manual link:** *FPM §3 (Standing Imprest), §4.4 (Temporary Imprest), §6 (Payments) and §11 (Budgetary Control).*

Grant funds shall be managed on the basis of the approved budget in the grant agreement. Requests for funds against a grant vote shall be initiated by the PI/Project Lead (and, for Branch/TWG grants, approved by the BEC/TWG), and processed by the Accounts Office in accordance with the FPM. In addition, the following grant-specific provisions apply:

Allowable costs

A cost may be charged to a grant only if it is: incurred within the grant period (or as pre-award costs approved by the funder); necessary for the project and provided for in the approved budget; reasonable, i.e. what a prudent person would pay; allocable to the grant; consistent with KVA policies and treated consistently with similar costs; adequately documented; and not prohibited by the funder or the law. Costs commonly restricted by funders, such as entertainment, alcohol, fines and penalties, gifts, lobbying and construction, shall not be charged unless expressly approved in writing by the funder and the CEO (or Honorary Treasurer in the absence of a CEO).

Imprest and advances

Temporary imprest for grant activities shall be requested with an activity budget and approved in accordance with FPM §4.4. In line with the KVA Staff Manual, imprest shall be fully accounted for within seven (7) days after return from the activity, with receipts, signed attendance lists and a back-to-office report, failing which the amount shall be recovered from the holder's subsequent salary. No further imprest shall be issued to a person with an outstanding unsurrendered imprest. Subsistence, travel and mileage allowances charged to grants shall follow the rates approved under the Staff Manual, unless the funder sets lower rates.

Cost allocation and charging of staff time

Costs that benefit more than one grant or activity shall be allocated on a documented, reasonable and consistent basis (for example time spent, usage or number of participants). Salaries charged to a grant shall reflect actual time worked on it and be supported by timesheets or effort records approved by the supervisor and the PI. Costs shall not be shifted between grants to cover overruns, or charged at the end of a grant simply to use up a balance.

Field, participant and mobile-money payments

Payments to participants, farmers and field teams shall follow section 14 of the Financial Crime Prevention Policy and Procedures: traceable payment methods shall be used where practical; payments shall be supported by approved participant lists or another reliable verification method; mobile-money numbers and payee identities shall be verified before material payments; and unclaimed or failed payments shall be reconciled and returned or reprocessed through an approved procedure.

Double funding and supplanting

The same cost shall not be charged to more than one funder, and per diems or reimbursements shall not be claimed twice from KVA or another source for the same cost. Where a funder prohibits supplanting, grant funds shall not replace costs that KVA would otherwise have met from its own resources.

Budget monitoring, variances and modifications

The Accounts Office shall prepare a monthly budget-versus-actual report for each grant vote, which shall feed into the monthly budget reports presented by the Hon. Treasurer to the NEC (FPM §11.2). Unless the funder specifies otherwise, re-allocations between budget lines of more than 10% of a line, new budget lines, changes in scope or key personnel, and cost or no-cost extensions shall be requested from the

funder by the PMT and the Accounts Office, in consultation with the PI/Project Lead and approved by the CEO (and/or) the Hon. Treasurer, before they are implemented.

Payments, cash management and monthly closing

Payments shall be made by bank transfer or cheque, with cash limited to the standing imprest (FPM §3). Grant cash needs shall be forecast quarterly. The KVA Grants Account shall be reconciled monthly, the vote balances agreed to it, and any differences or unsupported transactions cleared promptly.

14.2.6 Compliance and Internal Control

KVA shall maintain segregation of duties; authorisation of grant transactions within NEC approval limits; two-signatory payments (FPM §6.2); regular review of grant votes and funder conditions by the Accounts Office and PMT, with PIs/Project Leads and BECs/TWGs; coordinated responses to funder monitoring and audits; and periodic review of grant risks under the Financial Crime Prevention Policy and Procedures, with high or critical risks escalated to the CEO and the NEC.

14.2.7 Internal KVA Grant Reports

a) Every PI/Project Lead shall submit a quarterly report to the PMT (for Branch/TWG grants, through the BEC/TWG) within fifteen (15) days after the end of each quarter, covering: (i) technical progress, including outputs, outcomes, challenges and mitigation measures; and (ii) financial performance, including the grant vote budget-versus-actual report from the Accounts Office and the status of advances;

b) The PMT, with the Accounts Office, shall prepare a consolidated quarterly grants report, showing National, Branch/TWG and Individual Member grants separately and covering technical and financial performance, risks and the following key indicators: funding opportunities shared; proposals submitted and success rate; number and value of active grants; grants closed out; reporting compliance; and outstanding audit issues; and

c) The consolidated report shall be submitted by the CEO (or Honorary Treasurer in the absence of a CEO) to the NEC, which shall use it to exercise oversight of all grants.

14.2.8 Funder Reports

The PMT shall maintain a summary of each funder's reporting requirements and a Funder Reporting Calendar (Annex 5), and shall remind PIs/Project Leads, BECs/TWGs and the Accounts Office of reports due at least thirty (30) days in advance. Draft technical reports shall be submitted to the PMT, and financial reports prepared by the Accounts Office, at least ten (10) working days before the due date. Financial reports shall be reconciled to the grant vote and approved by the Hon. Treasurer, and the CEO (or Honorary Treasurer in the absence of a CEO) shall approve submission. Copies of all submitted reports and funder acknowledgements shall be kept on the grant file.

14.2.9 Audit of Grants

Grant income and expenditure shall be included in KVA's annual audited financial statements, prepared in accordance with the applicable accounting standards (FPM §10). Where a funder requires a specific project audit, the cost shall be budgeted for in the grant and the auditor appointed in accordance with the funder's requirements and KVA procedures. Audit findings shall be responded to within the period the auditor or funder sets, and the implementation of recommendations tracked by the NEC.

14.2.10 Ethical Approvals, Animal Welfare and Regulatory Permits

As a professional veterinary body, KVA shall ensure that all grant-funded research and programmes meet the highest ethical, animal welfare and professional standards. **No grant-funded activity involving animals or human participants shall be implemented until the required ethical approval has been obtained.**

Grants involving animals

Before implementation, any grant-funded research, trial, training, demonstration or other activity that involves the use of live animals, animal tissues or samples taken for the project shall have the written approval of an **Institutional Animal Care and Use Committee (IACUC) or an equivalent animal ethics committee** recognised in Kenya (for example, that of a university or research institution partnering in the project). The work shall comply with the approved protocol, the Prevention of Cruelty to Animals Act, the Veterinary Surgeons and Veterinary Para-professionals Act, 2011, and internationally accepted principles for the humane use of animals, including the 3Rs (replacement, reduction and refinement).

Grants involving human participants

Before implementation, any grant-funded activity that involves human participants — including surveys, interviews, focus groups, community studies, or the collection of human samples or personal data for research — shall have the written approval of an **ethics review committee accredited by NACOSTI**, or an equivalent ethics approval body where the work takes place outside Kenya. Informed consent shall be obtained in accordance with the approved protocol.

Other permits and safeguards

Before the activities concerned begin, the PI shall also ensure that the following have been obtained where applicable:

a) A research licence from the National Commission for Science, Technology and Innovation (NACOSTI);

b) Permits from the Directorate of Veterinary Services or other competent authorities for the movement, import or export of animals or biological samples, supported by material transfer agreements where required;

c) Compliance with the Data Protection Act, 2019 and the KVA Data Protection Policy and Procedures for any personal data collected, including a Data Protection Impact Assessment where required;

d) A safeguarding risk analysis, in line with the KVA GEDI and Safeguarding Policy, before activities involving children, vulnerable adults, farmers, students or communities;

e) A documented health and safety risk assessment, in line with the KVA Health, Safety and Wellbeing Policy and Procedures, for field, animal-handling, sampling, laboratory and other higher-risk activities; and

f) A financial-crime risk assessment of the grant, in line with the KVA Financial Crime Prevention Policy and Procedures.

Control of approvals

a) Copies of all approvals, licences and permits shall be filed with the PMT before the activities concerned begin, and recorded in the Grant Award Acceptance and Set-up Checklist (Annex 3);

b) The Accounts Office shall not release funds from the grant vote for activities that require ethical approval until the PMT confirms that the approval is on file;

c) Approvals shall be kept valid for the duration of the activity; renewals and amendments to protocols shall be approved by the relevant committee before changes are implemented; and

d) Adverse events, animal welfare incidents and protocol deviations shall be reported to the approving committee and, where the grant agreement requires it, to the funder.

Fabrication, falsification, plagiarism, misrepresentation of results, failure to obtain or comply with the required ethical approvals, and false accounting of grant funds constitute misconduct under Section 17.

14.2.11 Publications, Acknowledgement and Intellectual Property

Outputs from grants shall acknowledge KVA and the funder as required. Unless the grant agreement provides otherwise, intellectual property from grant-funded work belongs to KVA (and, for staff, as provided in the KVA Staff Manual), shared with funders and partners as agreed. Commercialisation or licensing requires NEC approval. Participant photographs, video and stories shall be used with consent under the Data Protection Policy and Procedures, and authorship shall reflect genuine contribution.

14.2.12 Records Management and Retention

The PMT shall maintain a complete file for each grant in KVA-approved repositories, including the Go/No-Go form, proposal, signed agreement and amendments, funder correspondence, approvals, work plans and budgets, reports, procurement and asset records, audit reports and close-out documents. Material approvals received by email or messaging shall be moved to the official file. Records shall be retained under the retention schedule in the KVA Records Management and Retention Policy — for grant core files and financial records, **seven (7) years after project close**, or longer where the funder, an ethics approval, an audit or the law requires.

15. GRANT CLOSE-OUT

Grant close-out is a critical stage of the grant life-cycle and shall begin at least ninety (90) days before the grant end date. The CEO, PMT, with the Accounts Office, is responsible for coordinating the proper close-out of all grants, and the BEC and CEO for ensuring that Branch grants meet close-out requirements.

15.1 Funder Requirements for Close-out

The PI/Project Lead shall work with the CEO, PMT and the Accounts Office to meet all grant obligations before the end date. A no-cost extension may be requested; any extension creating additional obligations for KVA requires NEC approval. At close-out, final technical and financial reports shall be submitted on time; only costs incurred within the grant period charged; unspent balances refunded or reprogrammed and assets dealt with as the funder directs; any required final audit completed; and the funder's written confirmation of close-out obtained.

15.2 KVA Requirements for Close-out

The PMT shall complete the Grant Close-out Checklist (Annex 7), confirming the list of assets and their location, copies of final technical and financial reports, the audit report, the status of sub-awards, the closure of the grant vote (with any balance dealt with as the funder directs), staff contract end dates, and lessons learned. The close-out report shall be tabled before the NEC, and the grant shall be signed off only when all KVA and funder requirements have been met. Records shall then be archived in accordance with Section 14.2.12.

16. GRANT MANAGEMENT FEE AND ADMINISTRATIVE COSTS

The **KVA grant management fee** recovers the indirect costs (overheads) of hosting and managing grants — governance, Secretariat, finance, project management, ICT and office costs that cannot easily be charged to a particular grant.

Every grant — National, Branch or Individual Member — shall attract the grant management fee. Grant budgets shall include the fee at the funder's maximum allowable indirect cost rate or, where the funder sets no rate, at not less than 10% and up to 15% of total direct costs. Where a funder allows a lower rate than KVA's, the funder's rate applies. Any further waiver or reduction requires NEC approval, with reasons recorded.

The fee shall be deducted by the Accounts Office from each grant vote as funds are received or as direct costs are incurred, as the grant agreement allows. Where a funder does not allow indirect costs, eligible

shared costs (such as a portion of finance, project management, administrative staff and office costs) shall, where the funder permits, be budgeted as direct costs on a documented allocation basis.

16.1 Distribution of the Grant Management Fee

The grant management fee collected on each grant shall be treated as 100% and distributed as follows:

Allocation	A. National grants	B. Branch grants	C. Individual Member grants
KVA Secretariat – central administration, finance and governance	70%	50%	70%
Project management and grants development (PMT, proposal development, staff training)	20%	20%	20%
Implementing branch (for activities that advance KVA objectives)	–	20%	–
Grants contingency reserve (disallowed costs, exchange losses, bridging and approved co-funding)	10%	10%	10%

The fee shall not be used for the personal benefit of any individual, including the PI.

16.2 Use of the Fee and Cost-sharing

The fee may be used for governance and Secretariat costs, Accounts Office and PMT staff, office and ICT costs, audit and legal fees not chargeable to a grant, insurance, capacity building and proposal development, subject to any funder restrictions. The branch/TWG share is held in KVA's books for approved branch/TWG activities. Where a funder allows no indirect costs, or requires cost-sharing or matching in any category, the CEO (or Honorary Treasurer) shall present the strategic case and cost to the NEC for approval before submission, and approved cost-sharing shall be tracked like grant expenditure.

17. MISCONDUCT, BREACHES AND SANCTIONS

Breaches of this Policy include: applying for, signing or receiving a grant in KVA's name without the required approvals, or into a branch or personal account (TWGs shall use the KVA National Account); false accounting or misuse of grant funds; failure to account for imprest; false, misleading or late reports; research misconduct or implementing animal or human work without the required ethical approval; breaches of the GEDI and Safeguarding, Data Protection or Health, Safety and Wellbeing policies in grant activities; concealing a conflict of interest; unapproved commercialisation of grant outputs; and condoning any of these.

Suspected breaches shall be assessed fairly and proportionately. KVA may take corrective, disciplinary, contractual or governance action as per the KVA Constitution, recover losses, notify funders as required by grant agreements, and refer matters to competent authorities where required by law. Suspected fraud, bribery, corruption, money laundering or terrorism financing shall be handled under the KVA Financial Crime Prevention Policy and Procedures and the KVA Constitution, including its procedures for preserving evidence, independent investigation, recovery and reporting to funders and authorities, and losses shall be handled in accordance with FPM §11.3.

18. REPORTING CONCERNS AND NON-RETALIATION

Concerns about misuse of grant funds, non-compliance or misconduct in grant-funded work should be raised through KVA's Whistleblowing and Non-Retaliation arrangements, including the channels in the GEDI and Safeguarding Policy (the Safeguarding Officer and Focal Points, the Secretariat, reporting@kenyavetassociation.com and the anonymous facility on the KVA website), using an alternative channel where the usual recipient is involved. Concerns shall then be handled under the KVA Constitution and the relevant policy — financial crime, safeguarding and GEDI, data protection, or health and safety — and reported to the funder where the grant agreement requires. KVA prohibits retaliation against anyone who raises a concern in good faith.

19. IMPLEMENTATION, MONITORING AND REVIEW

The CEO (or Honorary Treasurer in the absence of a CEO) shall be responsible for implementing this Policy and shall issue any supporting procedures, templates and guidance. The NEC shall monitor compliance through the quarterly grants reports and an annual review of the grants portfolio. This Policy shall be reviewed every three years, or earlier when the FPM is reviewed, or following material changes in law, funder requirements or KVA's risk profile. On review of the FPM, the provisions listed in Annex 8 shall be considered for transfer to it, and this Policy shall be amended accordingly.

20. TRAINING, COMMUNICATION AND MONITORING

KVA NEC, BEC, TWG Members and Staff shall receive induction and periodic awareness on this Policy.

21. APPROVAL AND AUTHORISATION

This Policy and Procedures becomes effective upon approval by the National Executive Council of the Kenya Veterinary Association.

Approval item	Details
Approval date	14/11/2026
Effective date	14/11/2026
Next scheduled review	14/11/2029
Policy version	1.0

President
Name: _____
Signature: _____
Date: _____

— END —

20. APPROVAL AND AUTHORISATION

This Grants Administration and Management Policy becomes effective upon approval by the National Executive Council of the Kenya Veterinary Association.

Approval item	Details
Approval date	_____
Effective date	_____
Next scheduled review	_____
Policy version	1.0

President

Name: _____Dr. Kelvin Osore_____

Signature: _____

Date: _____16/11/2026_____

— END —

ANNEXES

ANNEX 1: GRANT OPPORTUNITY APPROVAL AND GO/NO-GO FORM

To be completed by the proposed PI/Project Lead and submitted to the Project Management Team (PMT) at least fifteen (15) working days before the funder's deadline (Section 13.2).

A. Opportunity details

Item	Information
Grant category	☐ A. National (NEC) ☐ B. Branch/TWG ☐ C. Individual Member
Branch/TWG (for Branch/TWG grants) / KVA membership no. (for Individual Member grants)	
Funder and programme name	
Link to call / solicitation	
Submission deadline	
Proposed project title	
Project period	From ____/____/_____ to ____/____/_____
Estimated total budget (KES / currency)	
Type	☐ New ☐ Renewal ☐ One-year ☐ Multi-year
KVA role	☐ Lead applicant ☐ Partner/sub-recipient ☐ Sole applicant
Partners (if any)	
Indirect costs allowed?	☐ Yes, rate ____% ☐ No
Cost-sharing required?	☐ No ☐ Cash ☐ In-kind Amount: _____
New staff, space or equipment needed?	☐ No ☐ Yes (explain):
Animals, human participants, personal data or biological samples?	☐ No ☐ Yes (approvals needed):
Brief summary of the project and fit with KVA strategy	

B. Go/No-Go assessment (score 0 = negative, 3 = neutral, 5 = strongly positive)

Criterion	Score	Notes
1. KVA is eligible to apply		
2. Alignment with KVA mission and strategic plan		
3. Alignment with funder priorities		
4. KVA capacity (people, systems, time) to prepare and implement		
5. Cost-sharing and indirect cost terms acceptable		
6. Funder due diligence clear (Section 12)		

Criterion	Score	Notes
7. Financial, legal and reputational risk manageable		
8. Realistic chance of success		
9. Sustainability / future funding potential		
Total (maximum 45)		

C. Decision

☐ Go ☐ Go with conditions ☐ No-Go ☐ Referred to NEC

Conditions / reasons: _____

Proposed PI / Project Lead

Name: _____ Signature: _____ Date: _____

BEC Chairperson/TWG Convener (Branch/TWG grants only – endorsement)

Name: _____ Signature: _____ Date: _____

Project Management Team

Name: _____ Signature: _____ Date: _____

Chief Executive Officer / NEC (approval to proceed)

Name: _____ Signature: _____ Date: _____

ANNEX 2: FINAL APPROVAL FOR PROPOSAL SUBMISSION FORM

To be completed at least five (5) working days before the funder's deadline (Section 13.4).

Checklist item	Yes	N/A
Go/No-Go approval (Annex 1) on file	☐	☐
Proposal complies with funder guidelines (format, length, eligibility, attachments)	☐	☐
Budget uses current costs and KVA rates, and maps to KVA vote heads (FPM §2.3)	☐	☐
Indirect costs included at the Section 16 rate or the funder maximum	☐	☐
Audit, bank charges, M&E and statutory costs budgeted where allowed	☐	☐
Cost-sharing identified with source and approved by the NEC	☐	☐
Grant management fee included (Section 16)	☐	☐
BEC/TWG endorsement attached (Branch/TWG grants)	☐	☐
Partner due diligence and teaming agreement / letters of commitment in place	☐	☐
IACUC (or equivalent) approval planned for work involving animals (Section 14.2.10)	☐	☐
Human research ethics approval planned for work involving human participants (Section 14.2.10)	☐	☐
GEDI, safeguarding, data protection and health and safety considered and costed in design (Section 13.3)	☐	☐
Institutional documents attached (registration, KRA PIN, audited accounts, etc.)	☐	☐
Conflicts of interest declared and managed	☐	☐
Final version filed with the PMT	☐	☐

Principal Investigator / Project Lead

Name: _____ Signature: _____ Date: _____

BEC Chairperson/TWG Convener (Branch/TWG grants only)

Name: _____ Signature: _____ Date: _____

Project Management Team

Name: _____ Signature: _____ Date: _____

Accountant and Hon. Treasurer (budget approval)

Name: _____ Signature: _____ Date: _____

Chief Executive Officer (approval to submit)

Name: _____ Signature: _____ Date: _____

ANNEX 3: GRANT AWARD ACCEPTANCE AND SET-UP CHECKLIST

To be completed by the PMT and the Accounts Office before signature of the grant agreement and at grant set-up (Sections 14.1 and 14.2).

Item	Done	Date
Award terms reviewed: scope, budget, payment, reporting, audit, IP, data, termination	☐	
Governance and Legal Team review completed and recorded (Section 11.9)	☐	
Award approved by the NEC (or CEO under delegated authority) – minute reference: _____	☐	
Agreement signed by the President as overall signatory (Section 11.2); original filed with PMT, copy to Accounts Office	☐	
Grant entered in the KVA Grants Register (Annex 4)	☐	
Dedicated grant vote created under the KVA Grants Account; vote number communicated (Section 14.2.1)	☐	
Grant management fee deduction set up (Section 16)	☐	
Approved budget loaded and mapped to KVA vote heads	☐	
Reporting dates entered in the Funder Reporting Calendar (Annex 5)	☐	
Inception meeting held with PI, Finance and partners	☐	
Work plan, procurement plan and cash-flow forecast prepared	☐	
Appointment letters / contracts issued to grant staff and consultants	☐	
Sub-award agreements reviewed by Governance and Legal Team and signed by the President (Section 14.2.2)	☐	
IACUC / animal ethics approval on file before animal work begins (Section 14.2.10)	☐	
Human research ethics approval on file before work with human participants begins	☐	
NACOSTI licence, DVS permits and material transfer agreements obtained	☐	
Financial-crime, safeguarding and health and safety risk assessments (and DPIA where required) completed	☐	
Team and partners briefed on the GEDI and Safeguarding, Data Protection, Financial Crime Prevention, Health and Safety and Conflict of Interest policies; safeguarding code of conduct signed	☐	
Grant included in the annual / supplementary budget (FPM §11.1)	☐	

ANNEX 4: KVA GRANTS REGISTER

Maintained by the PMT and updated whenever a proposal is submitted, an award is made or the status changes.

Ref. / vote	Category (A/B/C)	Funder and project title	PI / Lead (branch)	Period	Amount	Status*	Next report

**Status: Intent / Submitted / Awarded / Active / Closing / Closed / Unsuccessful*

ANNEX 5: FUNDER REPORTING CALENDAR

Ref.	Grant / funder	Report type	Period covered	Due date	Draft to PMT	Submitted on

ANNEX 6: SUB-RECIPIENT AND PARTNER DUE DILIGENCE CHECKLIST

To be completed before KVA signs a sub-award or consortium agreement (Sections 13.5 and 14.2.2). The overall risk rating determines disbursement and monitoring arrangements.

Area	Rating (L/M/H)	Evidence / comments
Legal registration and good standing		
Governance structure and key officers		
Latest audited financial statements and audit opinion		
Financial management systems, segregation of duties and bank account		
Procurement procedures		
Technical capacity and track record		
GEDI and safeguarding policies, practice and willingness to sign KVA safeguarding commitment		
Anti-bribery, anti-money laundering and counter-terrorism financing controls (see also the Third-Party Integrity Due-Diligence Checklist in the Financial Crime Prevention Policy and Procedures)		
Access to an IACUC / ethics committee for animal or human research (where relevant)		
Sanctions and debarment screening		
Conflicts of interest with KVA officers or staff		
Data protection arrangements (data-sharing / processing agreement if personal data will be shared)		
Health and safety arrangements for field and animal-handling activities		
Overall risk rating and recommended controls		

Assessed by (PMT / Accounts Office)

Name: _____ Signature: _____ Date: _____

Reviewed by (Chief Executive Officer)

Name: _____ Signature: _____ Date: _____

ANNEX 7: GRANT CLOSE-OUT CHECKLIST

Close-out begins at least ninety (90) days before the grant end date (Section 15).

Item	Done	Date
Close-out meeting held with PI, Finance and partners (90 days before end)	☐	
No-cost extension requested or confirmed not required	☐	
All outstanding imprest and advances accounted for	☐	
Commitments liquidated; no costs charged after end date	☐	
Sub-awards closed and final sub-recipient reports received	☐	
Final technical report submitted	☐	
Final financial report reconciled to the books, approved and submitted	☐	
Final audit completed and report submitted (where required)	☐	
Unspent balance refunded or reprogrammed as the funder directed	☐	
Asset list and location confirmed; disposition per funder instructions	☐	
Staff and consultant contracts ended or transferred	☐	
Grant vote closed; balance refunded or reprogrammed as funder directed	☐	
Funder written confirmation of close-out received	☐	
Lessons learned documented; close-out report tabled at NEC	☐	
Grant file archived (Section 14.2.12)	☐	

Principal Investigator / Project Lead

Name: _____ Signature: _____ Date: _____

BEC Chairperson/TWG Convener (Branch/TWG grants only)

Name: _____ Signature: _____ Date: _____

Project Management Team

Name: _____ Signature: _____ Date: _____

Accountant

Name: _____ Signature: _____ Date: _____

Hon. Treasurer

Name: _____ Signature: _____ Date: _____

ANNEX 8: LINKAGE WITH THE FINANCIAL MANAGEMENT AND PROCUREMENT MANUAL

Part A: Grant-specific provisions to be transferred to the FPM on review

The following provisions are included in this Policy on an interim basis because the FPM (2013) does not cover them. When the FPM is reviewed, they should be moved into it, and this Policy amended to cross-refer to the revised FPM.

No.	Provision	Policy clause	Related FPM section	Proposed action at FPM review
1	KVA Grants Account with a dedicated grant vote per grant; mapping of funder budget lines to KVA vote heads	14.2.1(a)–(b)	§2.2–2.3	Add grants account and grant vote rules to Chart of Accounts
2	No transfers between grant votes; exceptional separate account only where funder mandates; interest apportioned to votes	14.2.1(c), (d), (h)	§4.1, §4.3	Add to Receipts / Donor Grants
3	Notification of grant receipts to PI/Project Lead, BEC,TWG and PMT within 3 working days	14.2.1(e)	§4.3	Expand Donor Grants procedure
4	Foreign-currency grants and exchange gains/losses	14.2.1(g)	§2.2	Expand currency policy
5	Sub-award disbursement in tranches and sub-recipient monitoring	14.2.2	None	New section on sub-grants
6	Funder procurement rules, single-source justification, debarment screening	14.2.3	§5	Expand Procurement section
7	Tagging of grant-funded assets and funder disposal restrictions	14.2.4	§8.1–8.2	Add fields to assets register
8	Allowable and unallowable cost criteria	14.2.5	None	New section on restricted funds
9	Imprest accounted for within 7 days (per Staff Manual); no second imprest	14.2.5	§4.4	Align FPM with Staff Manual
10	Cost allocation and charging of staff time (timesheets)	14.2.5	§9	Add to Payroll
11	Prohibition of double funding and supplanting	14.2.5	None	New section on restricted funds
12	Budget variance threshold (10%) and funder approval of modifications	14.2.5	§11	Add to Budgetary Control
13	Monthly grant reconciliation and budget-versus-actual per grant	14.2.5	§9.3, §11.2	Expand monthly closing
14	Approval workflow for funder financial reports	14.2.8	§10.1	Expand Donor Reports
15	Project-specific audits	14.2.9	§10	Add audit section
16	Retention of grant records (per Records Management and Retention Policy)	14.2.12	None	Cross-refer to Records Policy
17	Grant management fee on all grant categories: rate, distribution and use	16	None	New section on cost recovery
18	Approval and tracking of cost-sharing	13.3, 16.3	§11.1	Add to Budget Preparation
19	President as overall signatory of all contracts, after Governance and Legal Team review	11.2, 11.9	§1.4	Add an authority matrix

Part B: Observations on the FPM (2013) for its review

- The FPM cites the Constitution of Kenya 2010 and the Public Financial Management Act 2012 as its foundations; as KVA is a society and not a public entity, the review should anchor it in the Societies Act, the KVA Constitution and recognised accounting standards (IFRS / IFRS for SMEs).
- Statutory deduction references (e.g. NHIF) are outdated and should be updated to current requirements, including the Social Health Insurance Fund and the Affordable Housing Levy.
- The FPM is largely cheque-based; electronic payment, mobile money and internet banking controls should be added.
- Financial thresholds (standing imprest of KES 15,000, single payment of KES 10,000, procurement threshold of KES 500,000) date from 2013 and should be reviewed.
- Approval limits "agreed annually by the NEC/BEC" (FPM §5.2) should be set out in a written delegation of authority matrix.
- Role titles should be aligned with the current structure (for example the CEO, the Accountant and the Project Management Team, alongside the Hon. Treasurer), and the name of the NEC standardised (the FPM uses "National Executive Committee").
- The FPM should include sections on restricted funds, sub-grants, internal audit, risk management and records retention.
- Section 8.5 (Depreciation) is missing from the current text, and the appendix forms should be reproduced in full.

ANNEX 9: CONTRACT REVIEW AND SIGNATURE SHEET

To accompany every contract coming through KVA to the President for signature (Sections 11.2 and 11.9).

A. Contract details

Item	Information
Contract title / reference	
Type	☐ Grant agreement ☐ MoU ☐ Sub-award ☐ Consortium ☐ Data-sharing / MTA ☐ Consultancy / supplier ☐ Other
Grant category (if grant-related)	☐ A. National (NEC) ☐ B. Branch/TWG ☐ C. Individual Member ☐ N/A
Counterparty	
Value and period	
Grant vote (if applicable)	
Submitted by (PI / Project Lead / PMT)	

B. Governance and Legal Team review

Review item	Yes	No	Comment
Required approvals in place (NEC / CEO; BEC/TWG endorsement for Branch/TWG grants)	☐	☐	
Consistent with KVA Constitution, Board Manual, this Policy and the FPM	☐	☐	
Liability, indemnity, insurance and termination terms acceptable	☐	☐	
Intellectual property, publication and data protection terms acceptable	☐	☐	
Safeguarding, anti-fraud, anti-terrorism, audit and records clauses acceptable	☐	☐	
Grant management fee and budget consistent with approved proposal	☐	☐	
Dispute resolution and governing law acceptable	☐	☐	
No unmanaged conflict of interest for the signatory or reviewers	☐	☐	

Recommendation: ☐ Sign as is ☐ Sign after amendments listed below ☐ Do not sign

Amendments / conditions:

_____

Governance and Legal Team (reviewer)

Name: _____ Signature: _____ Date: _____

Legal adviser

Name: _____ Signature: _____ Date: _____

C. Signature

President (overall signatory)

Name: _____ Signature: _____ Date: _____