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NIHR Financial Assurance Funding (FAF) Workshop



Northumbria Healthcare
NHS Foundation Trust





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**WELCOME FROM PROFESSOR DAME LOUISE
ROBINSON**



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Who are NIHR?

NIHR is the nation's largest funder of health and care research and provide the people, facilities and technology that enables research to thrive.

The NIHR Global Health Research programme supports high-quality applied health research for the direct and primary benefit of people in low and middle-income countries (LMICs), using Official Development Assistance (ODA) funding.

#nihrglobalhealth

<https://www.nihr.ac.uk/explore-nihr/funding-programmes/global-health.htm>



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ODA FUNDING – WHAT IS THIS?

Official Development Assistance (ODA), often referred to as aid, is the internationally agreed criteria for funds provided to developing countries or multilateral institutions to fight poverty and promote development.

NIHR promotes internationally outstanding applied global health research for the direct and primary benefit of patients and the public in low and middle income countries (LMICs) on the Development Assistance Committee (DAC) list.



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Research Management

- What do you currently know about research management
- What challenges do you face with research management?
- Best practice – what do you do?

Newcastle University Project Management Toolkit

<https://newcastle.sharepoint.com/hub/projectandchangemanagement/Pages/ProjectManagementToolkit.aspx>



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COMPLIANCE AND REPORTING IN THE UK

NIHR Requirements

Newcastle Requirements



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Statement of Income and Expenditure:

Funder Reference:	GHR Group: 16/137/62
Funder:	NIHR
Newcastle Finance Reference:	RES/0150/7993
Newcastle G&C Reference:	BH170126
Collaborator Reference:	Newcastle University
PI:	Prof L Robinson
Project Title:	
Period of claim:	

NIHR Global Health Group on Dementia Prevention & Enhanced Care - (DePEC)

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QUARTERLY FINANCIAL REPORTING

Statement of Income and Expenditure:										
Funder Reference:	GHR Group: 16/137/62									
Funder:	NIHR									
Newcastle Finance Reference:	RES/0150/7993									
Newcastle G&C Reference:	BH170126									
Collaborator Reference:	Newcastle University									
PI:	Prof L Robinson									
Project Title:	NIHR Global Health Group on Dementia Prevention & Enhanced Care - (DePEC)									
Period of claim:	01/04/2019	30/06/2019								
% Funded	Period		Basic	NI	Superannuation	Maternity/Paternity	Additional 1	Additional 2	100%	80% if applicable
	100%DI Staff		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
		Basic	NI	Superannuation	Maternity/Paternity	Additional 1	Additional 2			
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
Name	Date		£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
Grade										
100%DI Consumables			£0.00						£0.00	£0.00
100%DI Travel & Subsistence			£0.00						£0.00	£0.00
100%DI Other Costs			£0.00						£0.00	£0.00
100%DI Conference Fees			£0.00						£0.00	£0.00
100%FEC			£0.00						£0.00	£0.00
Total Claim									£0.00	£0.00



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ACCURATE FORECASTING FIGURES

<u>FORECASTING</u>	To 31st March 2018	To 31st March 2019	To 31st March 2020	To 30th July 2020	
Please ensure this forecast is as accurate as possible Please see PROCESS tab for guidance on how to complete this document					
<u>DI Staff Costs</u>	£	£	£	£	
<u>DI Consumables</u>	£	£	£	£	
<u>DI Travel & Subsistence</u>	£	£	£	£	
<u>DI Other</u>	£	£	£	£	
<u>DI Conference Fees</u>	£	£	£	£	
<u>DA - Investigators</u>	£	£	£	£	
<u>DA - Estates</u>	£	£	£	£	
<u>DA - Other</u>					
<u>Indirect Costs</u>	£	£	£	£	
TOTAL	£	£	£	£	



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TIME SHEETS

- Hours per day/week/month on this project
- Hours per day/week/month on other things
- Annual leave
- Sickness and other absences



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UNIVERSITY OF NEWCASTLE

PROJECT TIME SHEET

<i>Project Name:</i>	DePEC				
<i>Contract No</i>	16I137I62				
<i>Name:</i>					
<i>Grade:</i>					
<i>Fixed Term/Full Time</i>					
<i>Date from / to</i>	1-Aug-19	31-Aug-19			
	DePEC	Other projects	Sickness / Absence	Holiday	Total
Total number of Productive Hours allowable per day for the Project					8.0
Days	Hours	Hours	Hours	Hours	Hours
1st					0
2nd					0
3rd					0
4th					0
5th					0
6th					0
7th					0
8th					0
9th					0
10th					0
11th					0
12th					0



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Travel (Newcastle Guidelines)

- Mileage – 45p per mile for first 200 miles then 25p per mile over this
- Trains/flights – standard/economy fare
- Accommodation
 - £165 per night for London
 - £120 per night for rest of UK
 - £165 per night for rest of the world
- Subsistence - £20 for lunch, £35 for dinner (snacks up to £10/day in the UK)



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RECEIPTS

- To provide evidence of correct use of funds
- Public funds needs to be transparent
- Ensure funds are being used as per agreement with NIHR



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PROJECT - DIRECT COST BREAKDOWN UNEW

Personnel, subcontracting and other major direct costs items for Partner

UNEW

Item Description	Amount	Explanations
Personnel costs		NCL will fill in when have timesheets
Consumables		
Travel		e.g. 01.10.12 Plenary meeting in Brussels;
Other Costs		
TOTAL DIRECT COSTS		

Travel information

These will be completed by Newcastle



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AUDIT

- Records need to be kept for six years following end of project
- NIHR can give one month's notice to carry out site visits
- Audits will include NIHR looking at expenditure and receipts – need to ensure these match



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DISCLAIMER STATEMENT FOR OUTPUTS

This research was funded by the National Institute for Health Research (NIHR) [Dementia Prevention & Enhanced Care (DePEC) (16/137/62)] using UK aid from the UK Government to support global health research. The views expressed in this publication are those of the author(s) and not necessarily those of the NIHR or the Department of Health and Social Care



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GFGP ACCREDITATION

Michaela Goodson



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WHAT IS GFGP?

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- A programme that was originally developed in Kenya to strengthen Africa's research and development infrastructure.
- Commonly used by UKRI to evaluate governance of LMIC research institutes
- It is an innovative standard to set up the best practices in management of funds awarded to grantees.
- More information at: www.aesa.ac.ke
- It's a self assessment tool to support research institutions to take steps to build up their grant management capacity and resilience enabling institutions to attract more funding and allow funders to gain confidence of ability to manage grants.



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WHAT HAPPENS TO THE DATA?

- Data is stored by the system and you can give access to grantors to access your assessment, but have to give permission for this.



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3 LEVELS

- Bronze: Basic assessment 250USD
- Silver: more in depth and requires uploading of more policies
- Gold: For larger grants and multi country sharing a budget, but also requires more measures in place.
- Platinum: more uploads, policies, bigger organisations (whole universities rather than departments).
- Grantors can ask or pay for an institution to do the assessment before they decide how much and whether that institute can receive and manage their own finance or whether it needs to be done elsewhere.
- For larger grants, it is likely to become mandatory at least at Bronze level.



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DePEC <https://www.globalgrantcommunity.org/login>



Email *

Password *

Login

[Forgot password?](#)

Do not have an account? [Register](#)

Read the [Informative Text](#) about the standard



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Welcome, Michaela Goodson

Last login: 0 minutes ago

Assessments

GFGP Standard (ARS 1651:2018)

Not yet started

Target: **Bronze**

0% complete:

Last modified:

2 weeks, 4 days ago

[Review](#)

Invitations pending



Your organization has no
invitations pending

[More...](#)

Find an organization



Search and browse
organizations in the
directory.

[Browse...](#)

Request an assessment



Ask a grantee to
complete an assessment
at the appropriate tier.

[Start...](#)

Manage documents



You currently have no
documents in your
library.

[Browse...](#)



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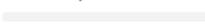
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Assessment overview

 **GFGP Standard (ARS 1651:2018)** Bronze [Change](#)

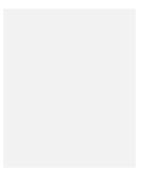
0% complete: 

Last modified: 2 weeks, 4 days ago

Bad internet connection? [Download this assessment](#) (in PDF format) to complete offline.

Newcastle University Medicine Malaysia: GFGP Standard (ARS 1651:2018) - Completion report

Completion Compliance Full assessment

Completion	Actions required	Completion
0% Complete	Unanswered: 70	 0%
101 Actions required	In progress: 0	
 This report shows action relating to questions up to your target tier.	Docs to upload: 31	

Completion by section

[Print report](#)

5 Financial management

5.1 Financial management  0%

Actions required: 5 



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5 Financial management

5.1 Financial management	0%	Actions required: 5 2	Edit
5.2 Income management	0%	Actions required: 4 3	Edit
5.3 Expenditure management	0%	Actions required: 3 3	Edit
5.4 Property, plant and equipment	0%	Actions required: 8 4	Edit
5.5 Cash, bank and treasury management	0%	Actions required: 12 2	Edit
5.6 Inventory management	0%	Actions required: 5	Edit
5.7 Travel and expenses	0%	Actions required: 1 1	Edit
5.8 Sub-grantee management	0%	Actions required: 1	Edit
5.9 Financial management systems	0%	Actions required: 2	Edit
5.10 Financial reporting	0%	Actions required: 4 3	Edit



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6 Human resources

6.1 Human resource management and payroll	0%	Actions required: 9 4	Edit
6.2 Staff development	0%	Actions required: 2 1	Edit

7 Procurement

7.1 Planning	0%	Actions required: 1 1	Edit
7.2 Contract management	0%	Actions required: 3 1	Edit

8 Governance

8.1 General	0%	Actions required: 3 2	Edit
8.2 Grant management and compliance	0%	Actions required: 3 2	Edit
8.3 Audit	0%	Actions required: 3 1	Edit
8.4 Risk management	0%	Actions required: 1 1	Edit



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FINANCE – BRONZE EXAMPLE

5.1.1.1 Does the organization have a procedure for planning and preparation of budgets?



NOTE:

NOTE 1 The organization can classify all activities and costs as either direct or indirect
NOTE 2 The organization can be able to allocate its costs to a grantor's cost definitions, including disallowed costs.
NOTE 3 The organization's procedure can include consideration of at least the following:(A) How to identify the objective or output of what is to be delivered;(B) How to identify the activities that are to be undertaken to deliver the objective or output;(C) How to estimate the costs associated with each of the above activities including any assumptions made.

Yes

In progress

No

Not Applicable

Explanation

Recommended maximum 150 words

5.1.1.2 Has the organization identified a competent person to be responsible for the preparation of the budget?



NOTE:

The grant budget can include all direct and indirect costs to deliver the objective or output of the grant

Yes

In progress

No

Not Applicable



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5.1.1.1 Does the organization have a procedure for planning and preparation of budgets?

 NOTE:

NOTE 1 The organization can classify all activities and costs as either direct or indirect

NOTE 2 The organization can be able to allocate its costs to a grantor's cost definitions, including disallowed costs.

NOTE 3 The organization's procedure can include consideration of at least the following:(A) How to identify the objective or output of what is to be delivered;(B) How to identify the activities that are to be undertaken to deliver the objective or output;(C) How to estimate the costs associated with each of the above activities including any assumptions made.

Yes

In progress

No

Not Applicable

You need to attach at least one document, if you do not have a document available please select in progress and come back to this question later

Explanation

Recommended maximum 150 words

Attach procedure documents:

Attach document

Upload new document

Attach a document from your document library:

SILVER EXAMPLE

▼ **Silver** Hide

5.1.2.1 Does the organization have a process for planning and preparation of budgets? Does this include at least the following?

NOTE:

- 1) The organization will ensure the most appropriate competent people or board with delegated authorities to approve grant and other budgets. This may be sub boards or individuals with budget responsibility.
- 2) Depending on the requirements of each grantor, written approval of changes to the budget can be obtained in advance of any expenditure being undertaken that was not within the originally agreed budget.

a) who is responsible for preparing the budget;

b) when it is prepared;



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GOLD EXAMPLE

▼ Gold Hide

5.1.3.1 Does the organization have a policy that set out how grants are to be applied for, budgeted, recorded, reported, reviewed and monitored?

Yes In progress No
 Not Applicable

Explanation

Recommended maximum 150 words

5.1.3.2 Does the organization prepare a consolidated budget which covers all grants, projects and activities including operational activities and which includes planned grant income?

Yes In progress No
 Not Applicable

Explanation

Recommended maximum 150 words



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HOW LONG WILL IT TAKE TO COMPLETE?

- If policies all made then 1 day to complete
- If policies are not there and cant be uploaded, you may not pass the assessment or have to make the policies first and there will be a variable time for approval of policies from the organization.
- If an institution is unable to comply with Bronze level standards, it is unlikely that they will be able to compete for further funding or manage their own finances.



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AIM

- For all the DePEC countries to have completed a Bronze financial assessment before the next meeting or at least found what is missing policy and document wise so that they can achieve the Bronze status.



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FURTHER FUNDING AND COSTING OF GRANT APPLICATIONS

- Searching for funding opportunities
 - Costing of grants
 - Funders guidelines
- Submission of application



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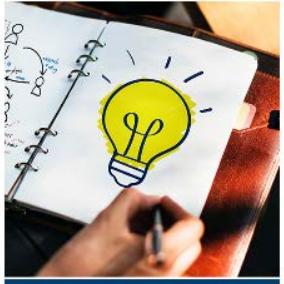
Project Management Toolkit



This Project Management toolkit has been developed by the Project and Change Community and Change Team as a useful tool and reference guide for project managers within the University.

This toolkit guides you through the various stages of delivering a project from initial concept, to getting your project up and running, delivering change and realising benefits.

If you have any questions or want to provide feedback please use [this form](#).



Idea



Define



Initiate



Deliver



Review & Close



Realise

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TIPS FOR SUCCESSFUL APPLICATIONS

- Make sure you meet all eligibility criteria
- Ensure you have high quality plans within the remit of the call and address all the selection criteria
- Be clear why this is the right time to be doing this research and what knowledge gap will be filled
- Appropriate community engagement and involvement
- Plans to build a research collaboration with appropriate mix of relevant expertise
- Letters of support showing strong institutional commitment
- Clear governance and project management
- Clear milestones and endpoints
- Demonstration of appropriate due diligence and risk management
- A clear budget with consideration of value for money



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What to Avoid

- Being too ambitious, the funder will need to be convinced the programme can be delivered within the time frame and budget. Think about whether you need to be more focussed
- Missing a key part of the remit of the call, for example don't forget to include strong plans for capacity building and ensuring sustainability beyond the end of the funding
- Having more partners than you need – this will make your programme more difficult to manage
- Presenting a programme that is difficult to follow or overly complex



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END OF WORKSHOP

ANY QUESTIONS?