



NIHR Financial Assurance Funding (FAF) Workshop





DePEC

FUNDED BY

NIHR | National Institute
for Health Research

WELCOME FROM PROFESSOR DAME LOUISE
ROBINSON



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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>



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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.



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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>



FUNDED BY

NIHR | National Institute
for Health Research

COMPLIANCE AND REPORTING IN THE UK

NIHR Requirements

Newcastle Requirements



DePEC

FUNDED BY

NIHR

National Institute for Health Research

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										
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% ^{REC}		£0.00						£0.00	£0.00	
Total Claim								£0.00	£0.00	



FUNDED BY

NIHR | National Institute
for Health Research

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	£ -	£ -	£ -	£ -



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

TIME SHEETS

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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

UNIVERSITY OF NEWCASTLE					
PROJECT TIMESHEET					
<i>Project Name:</i>	DePEC				
<i>Contract No</i>	16/137162				
<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 Pro				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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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)



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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



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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

GFGP ACCREDITATION

Michaela Goodson



DePEC

WHAT IS GFGP?

FUNDED BY

NIHR | National Institute
for Health Research

- 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.



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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.



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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.



FUNDED BY

NIHR | National Institute
for Health Research

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

GLOBAL GRANT COMMUNITY™

The African Academy of Sciences

Email *

Password *

Login

[Forgot password?](#)

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

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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

Welcome, Michaela Goodson

Last login: 0 minutes ago

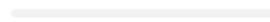
Assessments

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...](#)



FUNDED BY

NIHR | National Institute
for Health Research

Assessment overview

Edit assessment

Submit



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

GFGP Standard **Bronze** tier

0% Complete

101 Actions required

i This report shows action relating to questions up to your target tier.

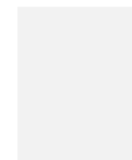
Actions required

Unanswered: **70**

In progress: **0**

Docs to upload: **31**

Completion



0%

Completion by section

Print report

5 Financial management

5.1 Financial management 0%

Actions required: **5** **2**

Edit



FUNDED BY

NIHR | National Institute
for Health Research

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



FUNDED BY

NIHR | National Institute
for Health Research

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



FUNDED BY

NIHR | National Institute
for Health Research

FINANCE – BRONZE EXAMPLE

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

i 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?

i 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



FUNDED BY

NIHR | National Institute
for Health Research

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:



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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?

i 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;



FUNDED BY

NIHR | National Institute
for Health Research

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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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.



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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.



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

FURTHER FUNDING AND COSTING OF GRANT APPLICATIONS

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



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](#).



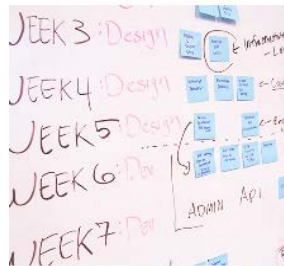
Idea



Define



Initiate



Deliver



Review & Close



Realise

FUNDED BY

NIHR | National Institute
for Health Research



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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 supporting 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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

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



DePEC

FUNDED BY

NIHR | National Institute
for Health Research

END OF WORKSHOP

ANY QUESTIONS?