Good Financial Grant Practice (GFGP): preparing for Accreditation using Theory of Change

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Global Health Research
Group on Dementia
Prevention & Enhanced
Care: DePEC

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Workshop objectives

LMIC partners to

- provide inputs to DePEC Theory of Change (ToC)

- build an understanding of how the DePec ToC applies to changes anticipated in programme sites & ensure research partners understand where their work sits within the Hub ToC

- build an integrated conceptual framework for impact that brings together the issue context, the research project, intended users and research-into-use strategies => deliverables:

- Deep insights into pathways to impact/ change pathways within the context

- DePEC logframe

Due Diligence

- Sets up framework to promote standardized high quality practice across sites.

- The risks relating to funding going overseas are much greater than for funding going to UK Research Organisations that undergo stringent audit checks.

- Due diligence provides a way to mitigate the risks, share good practice and have assurance that Research Organisations have the capacity and expertise to carry out the research.

Due Diligence

- Finance
- Ethics
- Research Governance- quality assurance
- Transparency
- Audit
- Accountability
- Peer review

Due Diligence in DePEC- Policies

- Financial Governance

- HR Governance

- Procurement

- General Governance including risk management

GFGP ACCREDITATION

Michaela Goodson

WHAT IS GFGP?

- 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.

4 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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Procedures, Processes and Policies

- Need to be able to upload the above for various criteria relating to finance, HR management and Governance/Risk management.

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

ⓘ 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
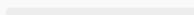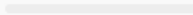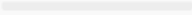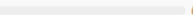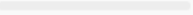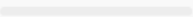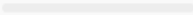
5 Financial management

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5 Financial management

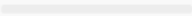|				
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5.3	Expenditure management	0%	Actions required: 3 3	Edit
5.4	Property, plant and equipment	0%	Actions required: 8 4	Edit
5.5	Cash, bank and treasury management	0%	Actions required: 12 2	Edit
5.6	Inventory management	0%	Actions required: 5	Edit
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

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

Exercise- 30 mins

- Read through pages 1 to 20 (codes 5.1.1.1 to 5.10.4.2) of the GFGP Standard document and answer the questions on the next slide.

GFGP

- What data do you currently have access to?
- What due diligence processes do you currently have in place?
- How feasible is completion of GFGP for your country/institution?

- 10 minute feedback per institution followed by group discussion.

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What is a Theory of Change?

A Theory of Change (ToC) is …

'a tool that outlines the steps by which a defined goal will be achieved'

… like a roadmap

… an established mechanism for guiding development work in LMICs
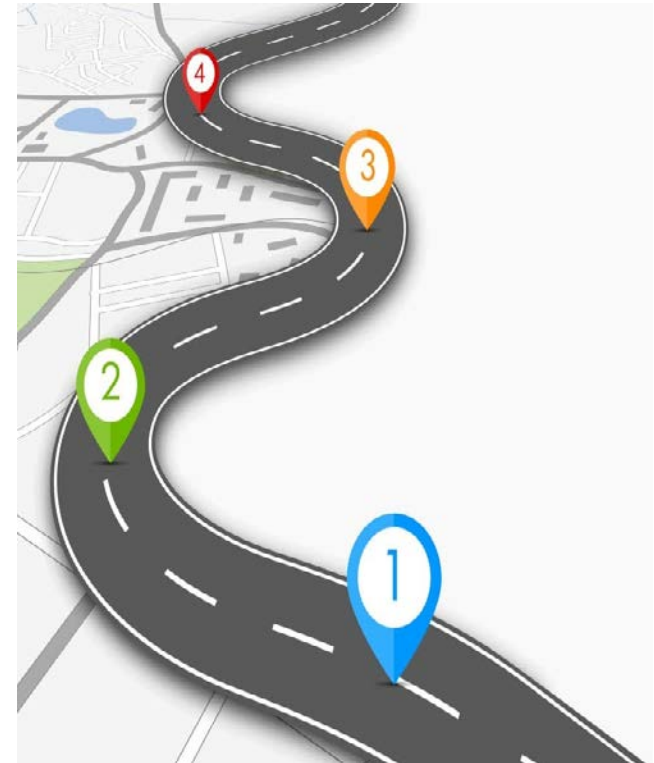
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Workshop essentials

- Acknowledge limitations/ environment i.e. who is in the room; where we are at in the programme; uncertainty is okay

- Conceptual clarity is needed – working definitions across the Hub is a work in progress

- Language, including MEL i.e. impact, outcomes and outputs

What is a Theory of Change?

A Theory of Change (ToC) is …

'**the thinking behind** how a particular intervention or strategy will bring about desired results'

'a visual record of **the critical assumptions underpinning** how proposed interventions or strategies have their effect'

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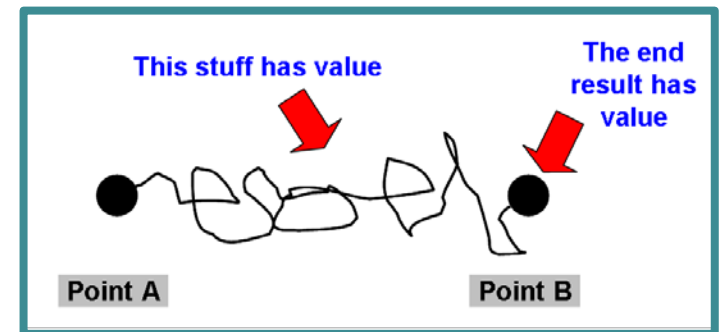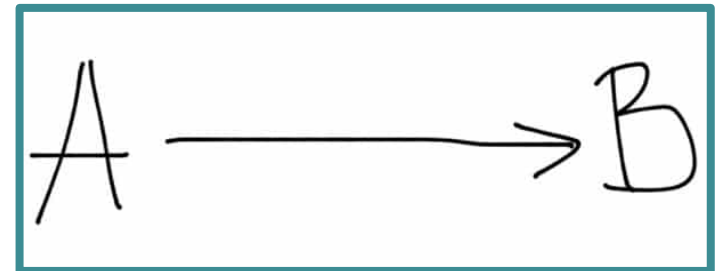
When is a Theory of Change most useful?

ToCs are most useful for …

'understanding & assessing impact in complex programmes & hard to measure areas/ processes'

Interventions that involve a linear, straightforward route to impact probably don't need a ToC.
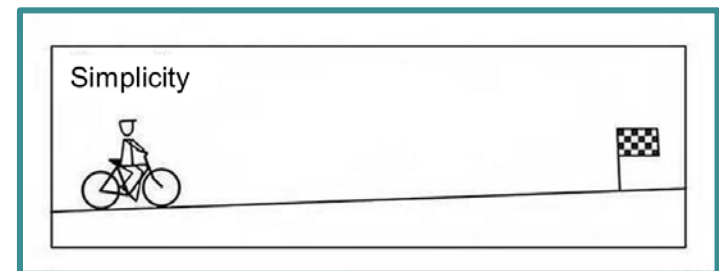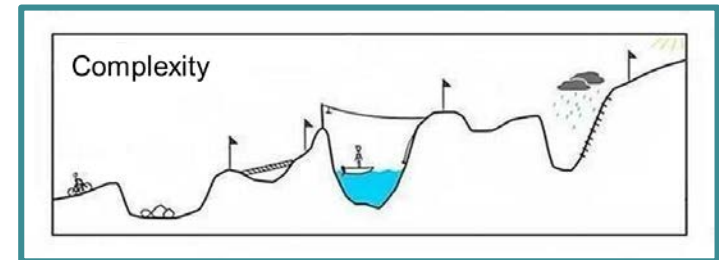
Why is a Theory of Change useful?

A process *and* product for understanding how change happens

A flexible 'rough guide' that offers a unique set of perspectives, not a definitive, static prediction'

Foundation of logframe* - management and measurement tool for making resource decisions / keeping us on track

Shared understanding of what is to be accomplished

Useful in strengthening the influence of research outputs – TOC analysis encourages us to make engagement and influencing activities a visible and integrated part of the research project

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Steps in the development of a ToC*

ToC Diagram adapted from Clarke and Anderson, 2004
*Adapted from Ann-Murray Brown 2019
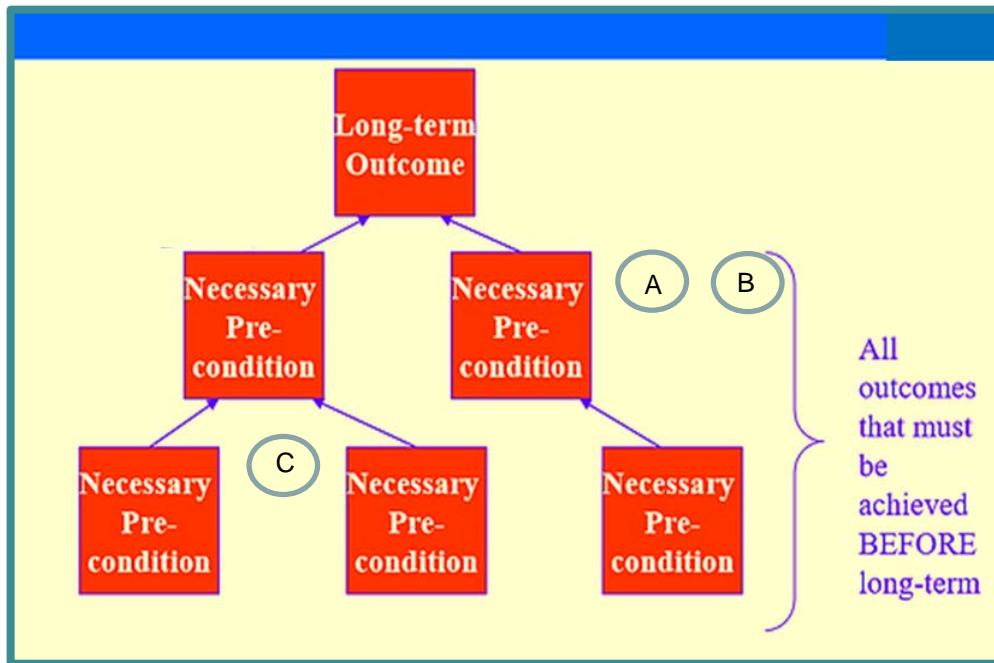
1. Identify long term goal/s or outcome/s

2. Conduct 'backward mapping' to identify the pre-conditions necessary to achieve goal/s

The **necessary conditions** are then shown as outcomes on the Theory of Change pathway

Assumptions and **justifications** for the preconditions are also clarified & captured in the ToC as letters of the alphabet

Steps in the development of a ToC*

3. Identify interventions & activities to create the necessary conditions

4. Develop indicators for each condition to assess intervention performance

This **outcomes pathway** maps the proposed causal linkages between ToC outcomes

Proposed interventions are captured in the ToC using numbers.
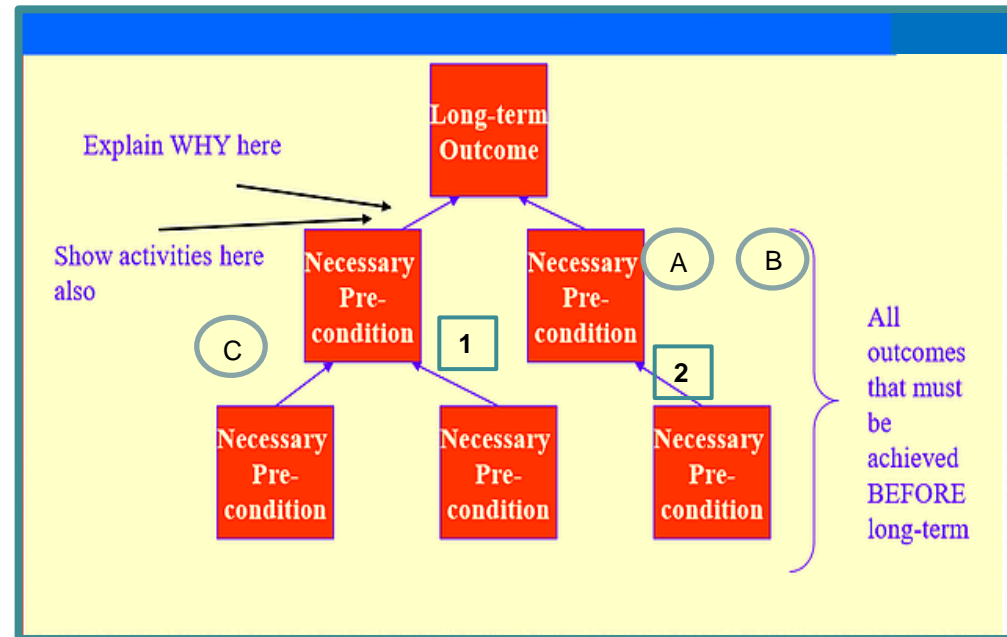
ToC Diagram adapted from Clarke and Anderson, 2004
*Adapted from Ann-Murray Brown 2019

Steps in the development of a ToC*

5. Write a narrative that summarises the various elements of the ToC

A good narrative sums up the initiative's story to provide a full description of the ToC.

It starts from the beginning with the background & goals

It explains why goals are important & how interventions & activities influence their achievement.

Components of a Narrative

Background: Description of the context and the need

Long-term Goal: The ultimate desired outcome

Outcomes/Preconditions: Description of these goals and how these goals are important for themselves as well as for the ultimate goal

Assumptions and Justifications: The facts or reasons behind the initiative's features

Interventions: The initiative's activities and programmes

Indicators: Description of how each outcome will be measured

Programme Logic: The understanding that guides every step of the initiative

*Adapted from Ann-Murray Brown 2019

Steps in the development of a ToC*

Some ToC outcome pathways include an 'accountability ceiling', represented by a dashed line separating outcomes to be monitored from the higher-order outcomes that are beyond its power to achieve.

Levels of control on the ToC can also be depicted as spheres; *'sphere of control', 'sphere of influence'* and *'sphere of interest'*.
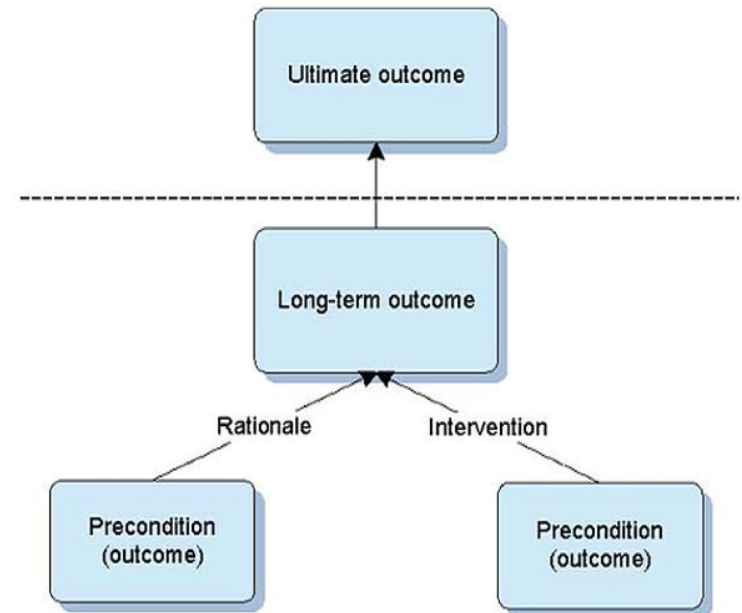
*Adapted from Ann-Murray Brown 2019

Michaela – HUB example

GCRF Water Hub Revised Theory of Change

With inputs from selected UK-based Hub members, April 2019

Revised Hub Theory of Change

intrac
for civil society

Sphere of control

Situation

Understanding risks, water resources, water quality, and governance are prerequisites to water security (SDGs 6.1-6.2). However, relevant **SDGs (6.3-6.6, 6.A, 6.B) are "framed in vague and un-measurable terms" so will not be achieved by improvements to technology or service provision alone.** We have identified 4 systemic barriers to achieving SDGs 6.3-6.6:

Effective action requires **data** from across the whole water system

Service delivery/Business models are not fit for purpose.

Water **governance** is fragmented

Pathways to water security are not adaptable and appropriate to **local context** and values.

Inputs

- UKRI investment
- World class interdisciplinary research team
- Existing data & field sites
- Local & international networks
- MEL

Core principles:
- Equitable partnership
- Equality, diversity, inclusion
- Interdisciplinarity

Outputs

Network of Collaboratories established => Integrated agenda for Water Security in partner countries

Increased interdisciplinary research and systems-thinking capacities

Increased levels of engagement among stakeholders in each programme site

Changes in local institutional structures & processes that enables collective decision-making for water management

Quality research project and innovations

Outcomes

Integrated data across sectors and levels

Effective business/service delivery models for water

Coherent frameworks for policy and decision-making

Lower cost, more sustainable, efficient and inclusive water security strategies

Quality research & interdisciplinary research leadership

Systems framework for water security

Impact

Sphere of direct influence

Global and national actors buy into systems framework & this informs future global development frameworks and catalyses funding

Empowered communities (SDG 6B)

International co-operation and investment (SDG 6A)

Sphere of indirect influence

Improved water quality (SDG 6.3)

Improved water use efficiency (SDG 6.4)

Implementation of IWRM (SDG 6.5)

➤ UN support

➤ Industry

➤ Financial Investment

➤ Community engagement & pressure

Refinement of systems approach to water security

Review, learn and adapt

Research

Innovations

Demonstration of a systems approach that delivers sustainable innovations to water security in programme sites

Global uptake of systems approach to water security

WS 1: Collaboratories in 4 programme sites

WS 2: Enabling & integration tools

WS 3: Water quality risks

WS 4: Values

WS 5: Governance

Tailored engagement with international bodies/agencies and research community

Accelerating innovation in water security policy and practice

Advocacy & education

Capacity building of research partners

Year 1

Activities

Year 5

Year 10

Outputs versus Outcomes

Outputs tell the story of what you produced or your organization's activities. **Output** measures do not address the value or impact of your services for your clients. On the other hand, an **outcome** is the level of performance or achievement that occurred because of the activity or services your organization provided.

Outcome mapping

➢ The preconditions that are needed in order to achieve the goal.

Think of these in terms of results, accomplishments, states, changes. We're not interested in what you will do at this stage, rather what changes need to happen.

A well constructed outcome map => you can explain the logic of the change process through a series of 'if…then…' statements.

Pathways to change

FINAL PRODUCT OF PATHWAY MAPPING

LONG-TERM OUTCOME

Intermediate Outcomes or Preconditions

Preconditions

Preconditions

Hopefully the map doesn't get much more complex than this!

Outcome mapping

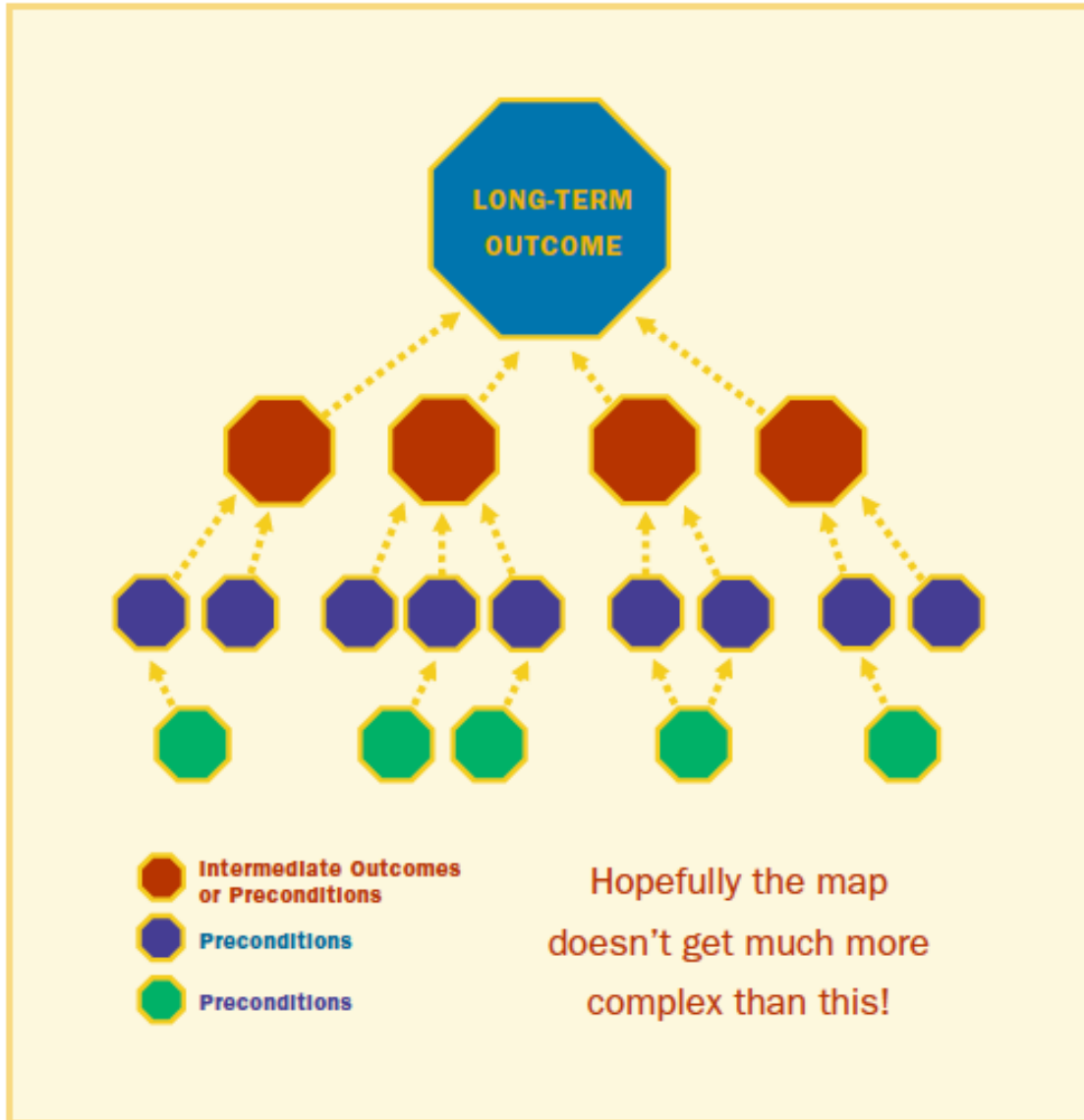**Goal: To establish water governance solutions that enable integrated river basin management in the Johor River Basin**

Establishment of river basin authority to oversee management of river basin	Establishment of a strategic framework for integrated river basin management	Empowerment of communities (making decisions; voices heard)
Endorsement of a new river basin management structure by Federal and State government	Improvements made to existing components of a strategic framework	Greater concern for environment/ intention to adopt more environment- friendly behaviors)

Acceptance of integrated river basin management (evidence & tools) within communities (by leaders?)

Establishment of working partnerships including stakeholder working group to develop strategic framework

Delivery of evidence & tools that address stakeholders' needs, including future flood and drought risks to local area captured (and prioritized) in National Strategy for Climate Change (other Ministries' strategies or policies?)

Establish baseline: (water) quality, accessibility and usefulness (value?) & context setting(?)

The Log frame

- Focuses on Impact and Outcomes

- For each impact and outcome, you need to complete the chart on the next slide so you know that what you are doing is for a purpose and you have some measurable indicators that you decide will tell you have achieved what you set out to do. There will be some assumptions along the way that you will make such as "competent well trained workforce, willingness to change" and these need to be inserted into the log frame also.

Logical Framework (Log Frame)

Project Description	Indicators	Source of Verification	Assumptions
Overall objective: The broad development **benefit** to which the project contributes – at a national or sectoral level	Measures the extent to which a contribution to the overall benefit has been made. Used during evaluation. However, it is often not appropriate for the project itself to try and collect this information.	Sources of information and methods used to collect and report it (including who and when/how frequently).	
Purpose: The development **outcome** at the end of the project – more specifically the expected benefits to the target group(s)	Helps answer the question 'How will we know if the purpose has been achieved'? Should include appropriate details of quantity, quality and time.	Sources of information and methods used to collect and report it (including who and when/how frequently)	Assumptions (factors outside project management's control) that may impact on the purpose-objective linkage
Results: The direct/tangible results (**products**, good and services) that the project delivers, and which are largely under project management's control	Helps answer the question 'How will we know if the results have been delivered'? Should include appropriate details of quantity, quality and time.	Sources of information and methods used to collect and report it (including who and when/how frequently)	Assumptions (factors outside project management's control) that may impact on the result-purpose linkage
Activities: The **tasks** (work programme) that need to be carried out to deliver the planned results (optional within the matrix itself)			Assumptions (factors outside project management's control) that may impact on the activity-result linkage

Examples of outcome indicators

Outcome: Strengthened technical capacity in the design, delivery and monitoring of water security interventions

Indicators:

➢ # of years of training for researchers (disaggregated by nationality, experience);

➢ # of researchers that deliver plans that articulate X,Y Z (tbd))

➢ % of water security interventions that embed X, Y, Z principles/criteria etc (tbd)

➢ Concrete examples of positive interactions between the research team and practitioners

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WS5 Translational outputs & future research priorities

- a consultation exercise with partner LMICs to map research dissemination methods and networks (WS1)

- seek individual views on 'resource gaps' and useful translational outputs from the program

- Within WS1.2 Delphi consensus, we will undertake a prioritisation exercise to determine the key translational outputs; results will be fed back to the programme group and partner organisations for validation.

- Our final list of proposed 'outputs' will be reviewed by the programme External Advisory Committee (see Governance).

Deliverables may include:
i) Carer e-learning resources; care pathways; service cost projection models
ii) Individual LMIC strategic brain health initiative and
iii) Future bids including a Global Health Unit Health.

Each partner LMIC will undertake a survey of dementia knowledge/skills/attitudes among their workforce and identify educational initiatives under development. A 3-day workshop will be hosted by Monash University-Malaysia (m21-24) to determine each country's priorities for workforce development and future strategic solutions.
Deliverables
i) Recommendations for efficient and feasible dementia care pathways for partner LMICs.
ii) Summary of workforce training needs and future strategic development plan for partner LMICs.

WS5 Translational outputs & future research priorities

Group Exercises

Problem identification

Goal setting

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Problem identification

1. What is the core problem/issue you are trying to address with this funding?

➢ In 2 groups, brainstorm problems/issues to be addressed. Write ideas on post-its & present to group.

2. Mapping of actors/stakeholders in the context

➢ In 2 groups, note down on post-its all relevant stakeholders (8-10 stakeholders –these could be existing and new relationships with research partners)

3. Receptiveness of stakeholders in the context to new evidence on the issues

➢ Add smiley faces to stakeholder maps (5 mins)

Goal Setting