# Grants Office
# Wellcome Sanger Institute

4 December 2018

Michael Dinig

# Agenda

- Grants Office at the Wellcome Sanger Institute

- Grants Management Review project

- GRL Sub Grants Policy

# Why is 3rd Party Funding Important to Sanger?

- Facilitates collaboration and enables scientific momentum

- Provides flexibility and agility to adapt to changes in the scientific environment

- Presents additional opportunity to recover costs, promote economies of scale and adopt emerging technologies

- Offers career development for early career researchers

- Reputational benefit to the organisation:

| Project | Funder |
|---|---|
| Human Cell Atlas | Wellcome, MRC, CZI (and others) |
| Grand Challenge: Mutographs of Cancer | CRUK |
| Health Data Research UK: Substantive Site | HDR UK |

wellcome
sanger
institute

# Wellcome Sanger Institute Background

Core funded by Wellcome in 5 year cycles

Target 20% of additional non-Wellcome funding from 3rd parties

Average additional 7% from WTOOE

# Wellcome Sanger Institute Grants Office stats

**Quick pre-award stats 2017/2018:**

Number of grant applications?

Number of contracts proposed?

Total combined value?

Biggest funder by value of applications submitted?

128

44

£93.5m

MRC and Wellcome

# Wellcome Sanger Institute

## Changing Funding Landscape QQ > QQ

- **More** applications to NIH, NIHR and CZI
- **More** applications to funders focused on intercontinental collaboration and global health challenges (CZI, RCUK GCRF, Gates, NIHR GHRU)
- **More** funding via RCAs: 16/17 and 17/18 now see **double the value in RCAs than in 2 preceding years**.
- **More** £1m+ applications in the last year as in the preceding 2 years combined

What does this tell us?
More applications and awards for large scale international collaborations
Sanger are leading in collaborations
Change in funding blend could impact on overhead recovery

**We need to administer a more complex portfolio with lower admin recovery???????**

# Wellcome Sanger Institute

1) Grants Management Review Project

2) Sub-grant policy

# Grants Management Review Project
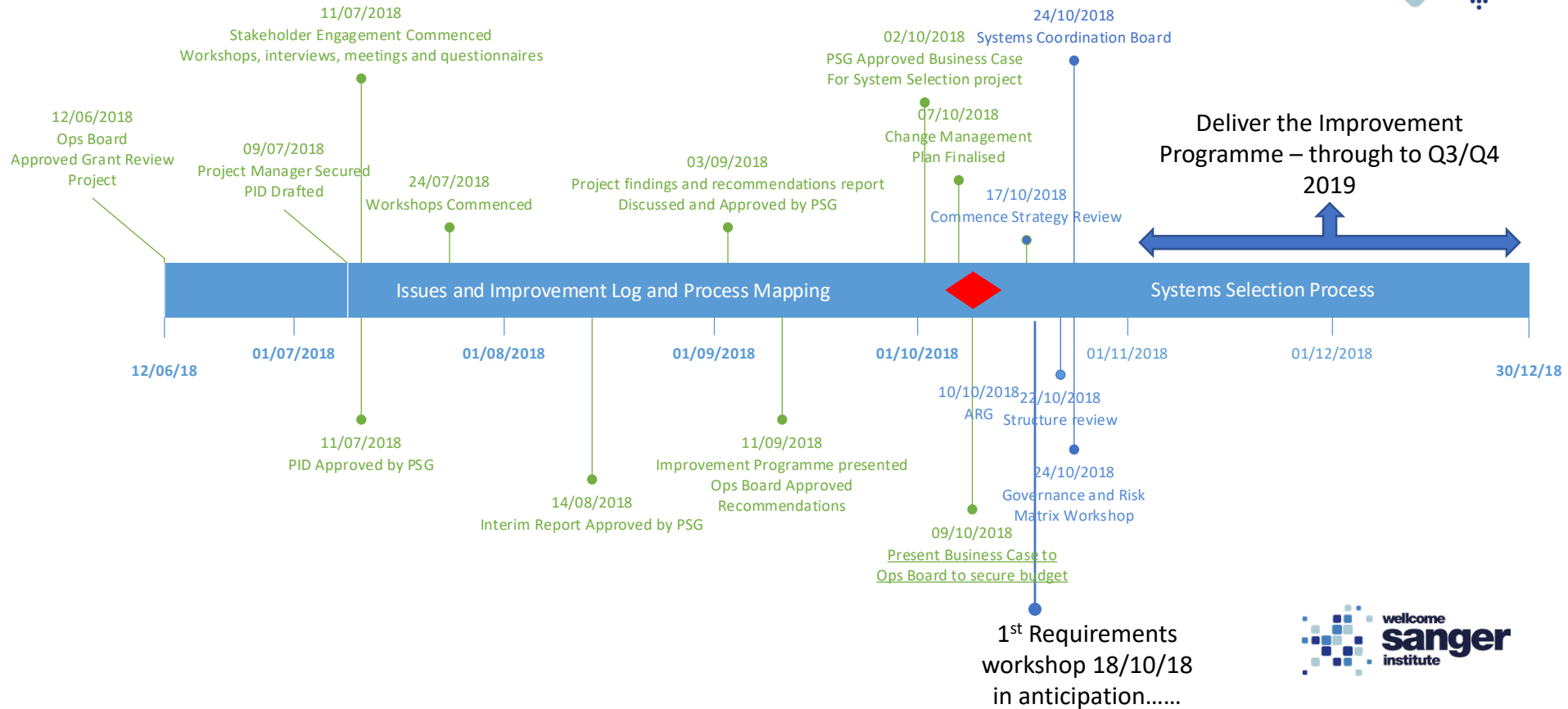## Project Driver & Scope

**Approach and scope**

- **Understand the:**
  - Current end-to-end-process review and issues and challenges arising
  - Process, people and system interactions and improvement opportunities

- **Scope is limited to:**
  - Third party grants directly awarded from a funding body to GRL (Sanger and Connecting Science);
  - Research Collaboration Agreements under which GRL is receiving funding;
  - Sub-awards (RCAs) whereby GRL is awarding funding; and
  - Scientific 'Out of Envelope' funding (additional grants) from Wellcome

  Engaged with over 115 stakeholders across Sanger and support has been fantastic!

# Summary of Progress

**11/07/2018**
Stakeholder Engagement Commenced
Workshops, interviews, meetings and questionnaires

**24/10/2018**
Systems Coordination Board

**02/10/2018**
PSG Approved Business Case
For System Selection project

**12/06/2018**
Ops Board
Approved Grant Review
Project

**07/10/2018**
Change Management
Plan Finalised

**09/07/2018**
Project Manager Secured
PID Drafted

**24/07/2018**
Workshops Commenced

**03/09/2018**
Project findings and recommendations report
Discussed and Approved by PSG

**17/10/2018**
Commence Strategy Review

Deliver the Improvement
Programme – through to Q3/Q4
2019

Issues and Improvement Log and Process Mapping

Systems Selection Process

**12/06/18**

**01/07/2018**

**01/08/2018**

**01/09/2018**

**01/10/2018**

**01/11/2018**

**01/12/2018**

**30/12/18**

**11/07/2018**
PID Approved by PSG

**10/10/2018**
ARG

**22/10/2018**
Structure review

**11/09/2018**
Improvement Programme presented
Ops Board Approved
Recommendations

**24/10/2018**
Governance and Risk
Matrix Workshop

**14/08/2018**
Interim Report Approved by PSG

**09/10/2018**
Present Business Case to
Ops Board to secure budget

1st Requirements
workshop 18/10/18
in anticipation......

# Key Findings – Key Themes

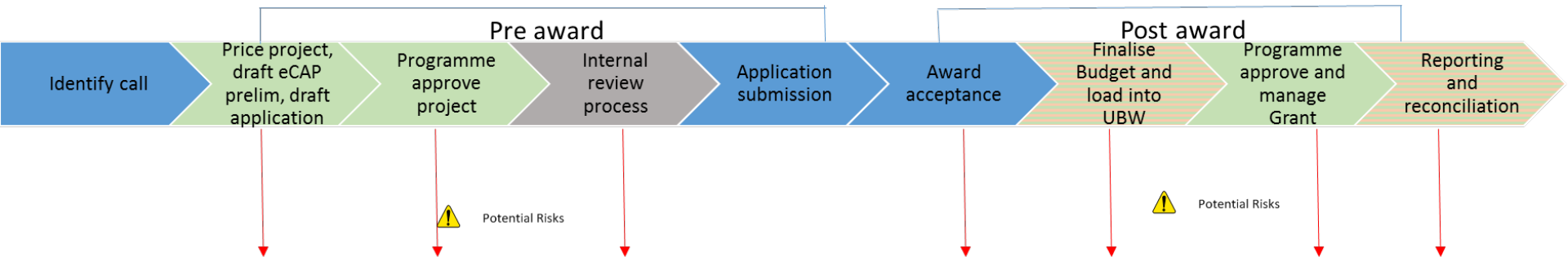| Theme | Issues |
|---|---|
| **Strategy and policy** | • Strategy - not clearly defined and scope may need revising<br>• Lack of consistent understanding in the stakeholder community<br>• Conflicting messages – CORE versus 3rd Party funding and key drivers<br>• Governance is not proportional to opportunity and/or risk – 'one size fits all' approach<br>• No consistent assessment of scientific fit, delivery and compliance |
| **Structure and responsibilities** | • Matrix environment - lack of structure to support end-to end process<br>• Siloed management - lack of ownership and defined roles frustrates the stakeholder community and creates ineffectiveness<br>• Inefficient process and procedures or general absence of procedures – creates confusion<br>• Support to the Scientific community is inconsistent, but should be first class |
| **Systems and access to data** | • Systems are fragmented and do not currently provide adequate support throughout the process (end-to-end) and do not drive efficiency or accuracy – they are unreliable<br>• Information is lacking or inaccurate and so does not drive informed decision making<br>• Greater accuracy, efficiency, relevance and transparency needed to drive improvements, knowledge sharing and greater efficiency |

wellcome
**sanger**
institute

# Risk Points on the Timeline

Legend:
- Grants Office
- Finance
- Programme
- Finance and Programme
- Committee Approval/s

**Monitoring and Compliance - Financial and Scientific Delivery**

## Pre award
- Identify call
- Price project, draft eCAP prelim, draft application
- Programme approve project
- Internal review process
- Application submission

## Post award
- Award acceptance
- Finalise Budget and load into UBW
- Programme approve and manage Grant
- Reporting and reconciliation

⚠ Potential Risks

- Risk of pricing errors
- Inconsistency
- Lack of consistency to review process

⚠ Potential Risks

- Inconsistent application of grantor terms
- Minimal compliance monitoring
- Monitoring varies between Programmes
- Lack of governance; transactional and reporting
- Access to data: grant terms, reporting dates etc.
- No oversight of whole process = loss of knowledge

wellcome sanger institute

# Governance and Risk Management

**General Overview relative to Governance**

|  | Pre-award | Post Award | Reporting and Compliance | Close Out Process |
|---|---|---|---|---|
| **Actual Risk** | L | H | H | H |
| **Governance** | High Applied to all | Low | Low | Low |
| **Expertise or Support Role** | Expertise | Support | Support | Support |

There is no overall account management of the process – it is fragmented in its ownership

# Governance and Risk Management

**Potential Environment**

| | Pre-award | | | Post Award | | | Reporting and Compliance | | | Close Out Process | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Actual Risk** | **L** | **M** | **H** | L | **M** | **H** | L | M | **H** | L | M | **H** |
| **Governance** | Relative to risk and opportunity | | | Medium to High | | | High | | | High | | |
| **Expertise or Support Role** | Expertise | | | Support | | | Expertise | | | Expertise | | |

Take an 'account management' style approach to the process – ensure oversight and ownership

# 3ʳᵈ Party Grant/RCA Funding Improvement Programme

| **Project 1** **Strategy & Policy** | **Project 2** **Structure & Responsibility** | **Project 3** **Management Systems** | **Project 4** **UBW Project Redesign** | **Project 5** **Commitment Accounting** | **Project 6** **Define Reporting Requirements** |
|---|---|---|---|---|---|
| • Define strategy<br>• Define 'evaluation and assessment matrix', based on a model which assesses the opportunity, against strategy, capacity, resources and financial and reputational standing<br>• Draft policy<br>• Communicate<br>• Educate and support stakeholders | • Grants management structure<br>• Roles & responsibilities<br>• Policies, processes & procedures (PPPs), e.g. timelines for submission, SLAs for approval, funding payments<br>• Project delivery (scientific & compliance)<br>• Drive 'change management' process<br>• Assess compliance with GFGP | • Review options for a 'costing and pricing' application<br>• Define requirements<br>• Select and implement system<br>• Deliver training and support programme | • Redesign the project master file (PMF)<br>• Ensure key data elements are captured correctly to facilitate control and reporting<br>• Manage implementation and data migration<br>• Redesign reports<br>• Implement project 'milestone' billing<br>• Provide training and support | • Improve the purchase order management process (pre-requisite to CA implementation)<br>• Implement CA module in UBW to manage committed PO costs<br>• Drive change and educate the user community post implementation<br>• Reduce non-PO invoices (in progress)<br>• Implement AKER committed costs | • Define reporting to support Critical Success Factor measurements<br>• Remove 'redundancy' from the reporting process and duplication of effort<br>• Drive consistency and accuracy of reporting<br>• Implement Tableau for reporting and dashboarding |

## Understand and Manage the Landscape - A Continuous Improvement Approach

| Seek Approval | BAU Activity | Seek Approval | In Progress – Already approved |
|---|---|---|---|

**wellcome sanger institute**

# Sub Grants Policy

What is a sub grant?

The aim of the policy is to help enable the delivery of the research objectives and ensure that the funding is used for the Grantor's intended purposes by ensuring that we can demonstrate compliance with:

- Grantors grant conditions;
- Applicable regulations; and
- GRL's own applicable policies and procedures.

# Good Financial Grant Practice
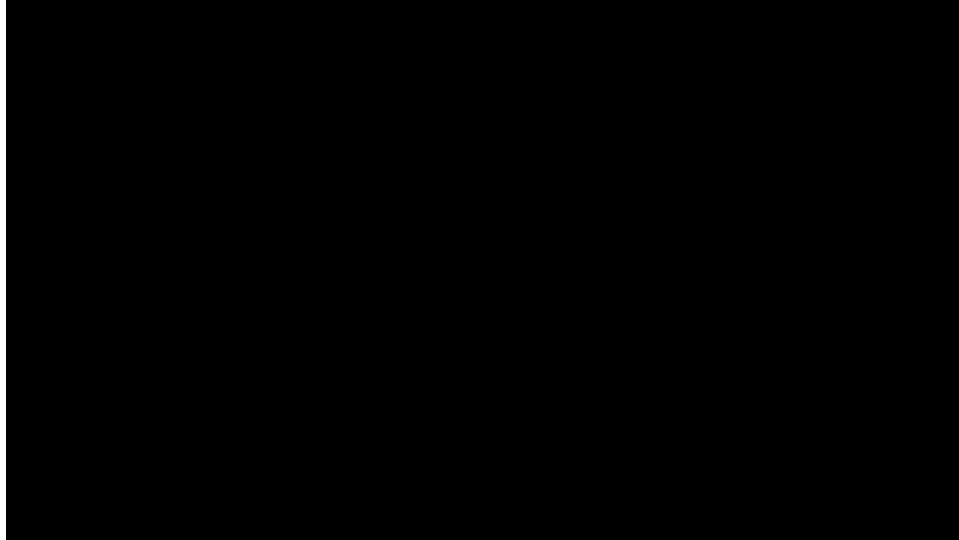
# Sub Grants Policy

What checks do we conduct?

| Type of check | Method |
| --- | --- |
| Public domain checks | Google searches on organisation, individuals named in research |
| Organisational Risk | Type, age, reputation of organisation |
| Country Risk | Corruption Perception Index<br>Terrorism Perception index<br>Economic Intelligence Unit – political and banking stability<br>Legal and regulatory risk from gov.uk |
| Organisational capability | GFGP and/or specific documentation |

# Sub Grants Policy

What do we do with findings?

| Level of risk | Control |
|---|---|
| High | GFGP assessment plus audit<br>Separate bank account<br>Monthly reporting at transactional level |
| Medium | Pragmatic approach |
| Low | Quarterly reporting at budget heading level<br>May not require an audit or GFGP |

Approach is agreed and secured via signing of RCA

# To summarise

Changing Funding landscape
Grants Management Review
Subgrants policy

# Any Questions
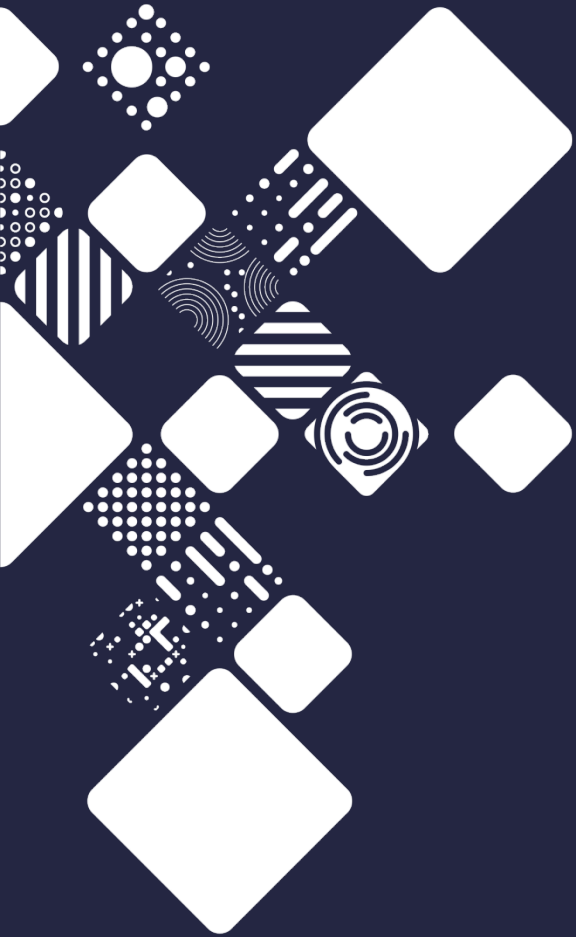
# Cambridge Research Administrator Network

4th December 2018

# Website

We are in the process of putting together a website for the Cambridge Research Administrator Network with the following;

- Outline the Mission
- List upcoming events
- Details of previous events
- Useful information/documents/links
- Directory of members
  - For this we need your permission and will contact you prior to this page going live

# Website
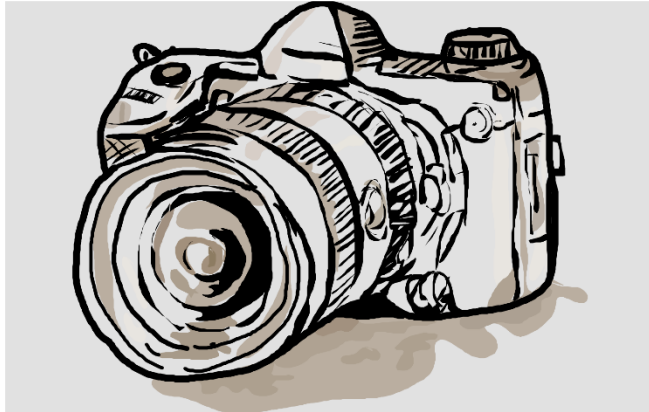


## We need your help!

Photo's that represent your work or what you do that we can include on the website!

These can be submitted to Karen:

kc14@sanger.ac.uk

# ARMA 2019

- Call for Abstracts for ARMA 2019 is now open
- We are preparing an abstract for a presentation
- 'Culture, environment & people' strand
- Initiation of the Cambridge Research Administrator Network
- How we have benefitted from it
- What the future for the Network holds

# Next Meeting



- Presenters for the next couple of meetings
  - Sanger can offer space if this is required
- To take place
  - February/March 2019
  - April/May 2019