Introduction to Research Administration and Grants Writing Training Workshop

Presentation to Busitema University

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Outline of the presentation

- Motivation to Start partnership
- Steps for partnership creation and Management
- Characteristics of a good partnership/network
- Benefit from the collaboration
- Contract and subcontracting
- Common challenges in managing subcontractors
- Discussion

Definition

- **<u>Partnerships:</u>** Institution and persons that come together to jointly solve problems, resource exchange, coordination and coalition building.
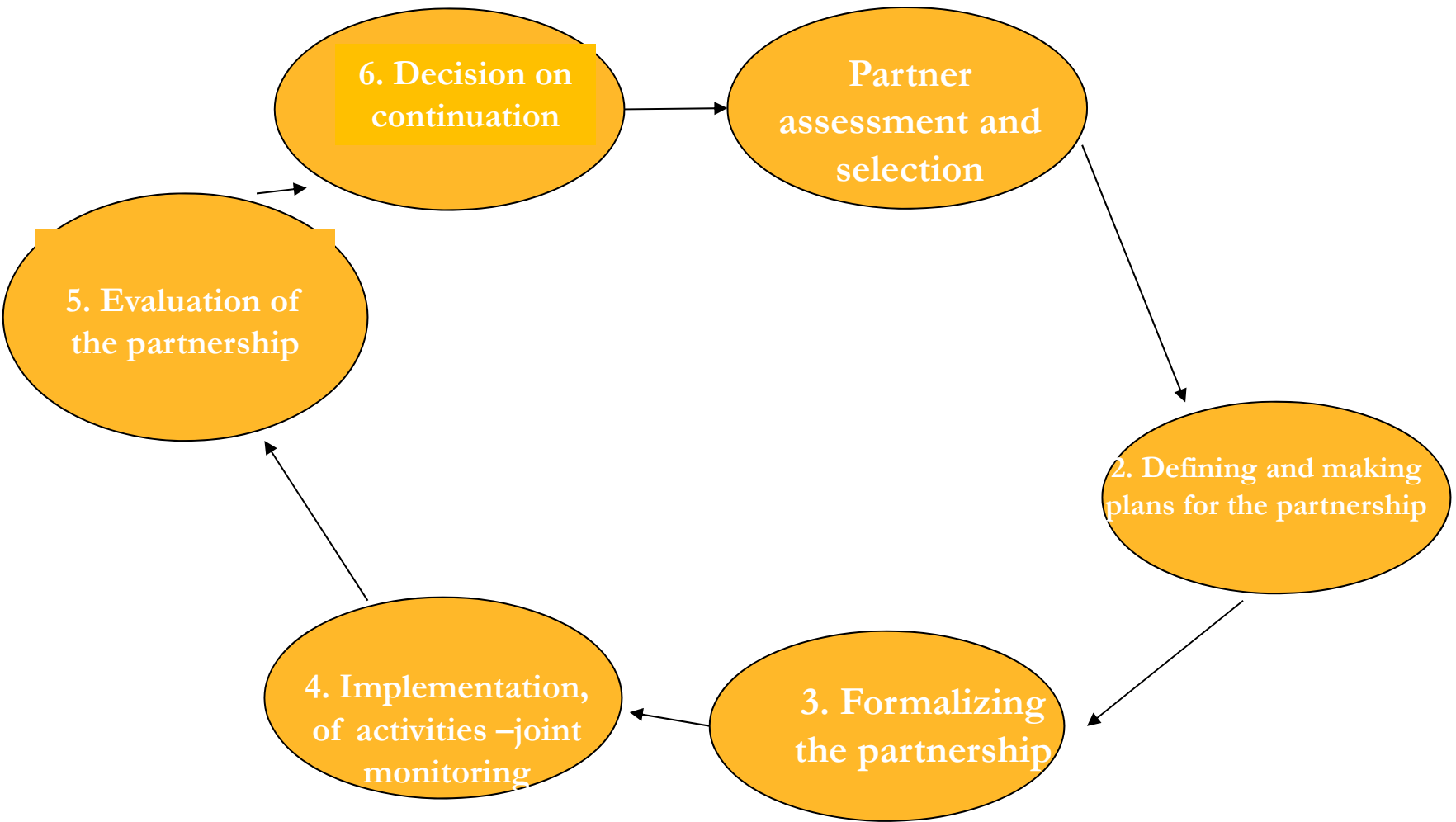
A partnership brings together institutional capabilities and human resources in the form of skills, experiences and ideas to tackle common problems that are often beyond the capacity of a single organization or group.

Note: The terms Partnership, Collaboration and Networking are usually used inter-changeably

Motivation to Start partnership

- ***Motives for starting partnership vary , therefore they way they start varies.*** The initial drive can be:
- ➢ Incentive driven, E.g. funds offered by donor/local government for an activity - Conditions
- ➢ Locally driven (bottom up), from the region/country itself where the need for better co-operation is recognized
- ➢ Policy driven (top-down), partnership considered a right solution to solve certain problem

Partnership Managment Steps /Cycle

6. Decision on continuation

Partner assessment and selection

2. Defining and making plans for the partnership

3. Formalizing the partnership

4. Implementation, of activities –joint monitoring

5. Evaluation of the partnership

Role of Role of grants office at Partner Institutions

Handle:

➢ **Pre- award**

➢ **Post Award Processes**

Characteristics of a good partnership/network

- **Strong sense of ownership by each partner**

- **Roles of each and nature of collaboration is well clarified/followed**

- **Knowledge and new ideas are shared openly within the partnership " A learning culture" is fostered**

- **Firm foundation of good practice e.g. in financial controls etc.**

- **Resources, responsibilities and tasks may differ, but the added value of each partner is well recognized**

Good Partnerships
What can you do?

❑ **Communicate, communicate, communicate.**

➤ Jointly Develop a plan

➤ Do the Monitoring , Share and Discuss findings with collaborators Report / discuss problems as well as findings

➤ Make collaborators aware of any important changes

➤ Share related news and developments – stay informed too

Benefits from the Research Partnership

- Significant capacity-building
- Joint/group Mentorship for trainees and peer mentorship among faculty and joint manuscripts publication
- Increase in Multidisciplinary research programs Increased in Research grants written/awarded
- Increase in resource mobilization/ and utilization
- Access to and dissemination of local knowledge

A Research Partnership is likely to be ineffective if ……

- Partners do not share common values and interests

- Partners do not share risks, responsibility,or benefits

- One partner has all the power to drive the whole process

- Partners fail to identify or resolve internal conflicts

- Partners are not chosen carefully following good selection criteria - difficult to "de-partner"

Contract and subcontracting

What is a contact ?

- A contract is an agreement between two or more parties that creates an   obligation to perform a particular duty

Prime Recipient/Contract

- The prime recipient is the organization/entity that is the direct recipient of the sponsor's funds /contract and in this capacity assumes a number of responsibilities, including management of subcontracts

- There is a growing number of contractors using subcontracting as the principle means of delivery (this makes management of contracting important)

What is a sub contract ?

- Any contract or agreement to perform work in support of a prime contract

- The subcontract provisions are influenced by the prime contract. Any modification to the provisions within a subcontract will require approve from the prime contract

Statement of Work

- The statement of work outlines the procedures and methods the sub-contractor will employ in accordance with the goals of the project proposed by the prime recipient of the contract

Roles of prime contractor

- Determine and justify proportion of work to be subcontracted

- Assessment and approve contracting arrangements

- Monitoring the subcontractor's compliance to rules ,regulations etc

- Prepares written contracts or agreements with subcontractor detail expected performance and monitoring arrangements

- Appoint personnel to led monitoring and evaluation with subcontractors

- Manage the surveillance plan

The Prime Contractor Surveillance plan

▪**The Surveillance Plan** is a proven performance support tool. It sets out the prime's arrangement to monitor the subcontractor compliance with contract provisions.

▪ Best practices clearly indicate that proper planning, selection of a reputable subcontractor, and appropriate oversight of subcontractor performance, will most likely result in *best results*

As a prime contractor you should rely on the subcontractor for Quality Control – your responsibility is Quality Assurance!

Roles of subcontractors

- Provide specialised services

- Enhance operational capacity and competency

- Reduce exposure to specific risks inherent in the contract

- Aim at maintaining quality control

- Bears responsibility for programmatic decision making and measurable performance requirements as agreed

- Adhere to compliance requirements of the prime contract

Basic information you need to evaluate suitability of subcontractors

- Company details including history , financial systems and capability

- Management, staff , applicable accreditation relevant experience and resources

- Approach to risk management

- Verify that subcontractors are fully aware of your requirements e.g quality, timeliness, available funds, complaint handling

General issues to consider when subcontracting

- Requirements for application preparation
- Policies and procedures governing the prime
- Project monitoring and evaluations procedures
- Accounting systems and reporting
- Budgeting , allowable costs and expenditure controls
- Personnel management
- Procurement and assets management procedures
- Travel regulations
- Performance measures (deliverables and milestones)

Guiding questions for subcontract review

- Questions for self assessment by Prime recipient
  - ➢ How is your quality systems applied to your subcontractors?
  - ➢ How do subcontractors keep you informed of progress?
  - ➢ How do you keep your subcontractors informed of client requirements?
  - ➢ How do you measure the effectiveness of your subcontractors?
  - ➢ How do you ensure that subcontractor related problems are resolved swiftly?
  - ➢ How do you check external reports of subcontractors ?
  - ➢ How do you seek continuous improvement?
  - ➢ How do you deal with under-performance?
  - ➢ How do you ensure that your subcontractors protect participants and project image?

Common challenges in subcontracting

- Subcontractors failure or not being fully aware of clients requirements
- Payment terms enjoyed by contractors not passed on to subcontractors or as agreed in the provisions
- Weak operational management of subcontractors
- Performance management of subcontractors
- Relationships between contractors and subcontractors largely informal
- Bias in subcontractor selection

Common mistakes cont'n

- Noncompliance with special terms and conditions of the sponsor and as required by the prime in the subcontract provision
- Subcontractors approved without proper assessment
- Making unallowable costs
- Misallocation of costs
- Inaccurate effort reporting for personnel
- Inadequate subcontractor monitoring
- Weak performance monitoring and evaluation

Characteristics of effective subcontract arrangements

➢ Formal agreements between prime and sub contractors

➢ Subcontractors have high degree of awareness of prime contractor's methods of working and client's expectations

➢ Subcontractors allowed to attend client/contractor progress meetings and planned activities for next period

➢ Subcontractors encouraged and rewarded for innovation

➢ Formal procedures for; selection, quality assurance, monitoring performance etc

➢ The prime receive copies of subcontractor progress meetings, post inspection reports etc

➢ Subcontractor performance is a standing agenda item in meetings

THANK YOU !