**NIHR Global Health Research**

**Delivery Chain Mapping and Delivery Chain Risk Mapping Guidance for contractors**

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# Introduction

The NIHR Global Health Research (GHR) portfolio was established within the Department of Health and Social Care (DHSC) to support applied health research for the direct and primary benefit of people in low-and middle-income countries (LMICs) on the Organisation for Economic Co-operation and Development (OECD) [Development Assistance Committee (DAC) list](http://www.oecd.org/dac/stats/daclist.htm), using  Official Development Assistance (ODA) from the UK government.

This guidance has been adapted from the [Foreign, Commonwealth and Development Office (FCDO) Guidance on Delivery Chain Mapping for External Partners](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fassets.publishing.service.gov.uk%2Fgovernment%2Fuploads%2Fsystem%2Fuploads%2Fattachment_data%2Ffile%2F1000005%2FDelivery-Chain-Mapping-external-partners2.odt&wdOrigin=BROWSELINK).

**Delivery Chain Mapping (DCM)** and **Delivery Chain Risk Mapping (DCRM)** are useful tools for programme risk management for the NIHR Global Health Research programmes and awards managed by the NIHR. These tools play an important role in the due diligence and programme monitoring processes and improve understanding of how DHSC ODA funding flows throughout a delivery chain, to ensure that our programmes achieve their objectives.

By better understanding our delivery chains DHSC/NIHR can:

* Establish a comprehensive view of all collaborators/partners in receipt DHSC ODA funding and the extent of those arrangements.
* Understand a delivery partner’s role in achieving programme outcome(s) and opportunities for potential scale-up.
* Capture and manage risks that could affect programme outcomes.
* Ensure risks are being managed by those best placed to do so.
* Strengthen our programme management capacity and programme delivery.
* Respond quickly and efficiently to requests for information about funding to specific organisations and provide greater transparency to the public.

# Delivery Chain Mapping (DCM)

**DCM** is a process that identifies and captures, usually in visual form, the names of all partners involved in delivering a specific product, service or change, ideally down to the end beneficiary or recipient of DHSC ODA funding.

The focus should be organisations with which DHSC’s contractors have formal funding arrangements involving DHSC ODA funding, right down to the partners responsible for providing goods or services to the end beneficiaries/recipients.

# Delivery Chain Risk Mapping (DCRM)

**DCRM** is a visual depiction that builds on the DCM.

Where DCM focuses on identifying all partners involved in delivering a specific product or service, **the DCRM is about understanding, capturing, and managing the risks to the successful delivery of a programme, in relation to downstream delivery partners.**

DCRM can help identify, highlight, or prompt DHSC/NIHR to consider areas such as:

* DHSC ODA funds being distributed to each implementing (downstream or indirect) collaborator/partner.
* Where capacity issues may exist with delivery partners (e.g. a contractor’s or collaborator’s capacity to manage a large number downstream/indirect partners).
* Vulnerable links or gaps where we have limited information (e.g. where knowledge and information about certain collaborators/partners is limited).
* Key dependencies on downstream partners.
* Risks involved at each stage in the delivery chain (e.g. resources being diverted to terrorist groups) and associated controls.
* Where risk management is transferred or where there may be opportunities to transfer risk management and where accountability sits for the management of such risks.
* Administrative costs incurred throughout the delivery chain.

DCRM should, where possible, identify all collaborators/partners (funding and non-funding e.g. legal/contributions in kind) involved in the delivery of a programme. Good practice includes details of:

* The name of all downstream delivery partners and their functions.
* Funding flows (e.g. amount, type) to each delivery partner.
* Risks involved in programme delivery, mitigating measures and associated controls.

DCRM should identify, to the extent possible, the fiduciary and other risks associated with managing DHSC ODA funds down the delivery chain. For example, how funding might be diverted, and where the DHSC/NIHR’s knowledge of the downstream partners may be incomplete. This should include consideration of potential fraud, bribery, or terrorist financing. It might also consider the dependency on key partners and the coherence and value for money (VFM) of the overall supply chain for the intervention.

**NIHR Global Health Research programme (Joint) Lead applicants are responsible for mapping the complete delivery chain and identifying key risks along the delivery chain**. Once the initial mapping is complete this will form the basis for a discussion with NIHR to identify the key risks and management of such risks.

DCRM remains important throughout the programme lifecycle. The map will be a live document which will support programme management and monitoring, helping all those involved in programme delivery remain alert to new and emerging risks.

Risk maps should be reviewed and updated periodically, in line with agreed programme monitoring processes and procedures e.g. during quarterly progress meetings/annual reporting. Any material changes to either the programme risk assessment or delivery chain should be recorded as soon as possible. It is the responsibility of the contractor to notify the NIHR of any changes to risk within the delivery chain.

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# Questions or Concerns

If you have any questions relating to this document, please contact the NIHR Coordinating Centre via your specific point of contact

**The annexes below provide example formats for the DCM/DCRM but these are not prescriptive. The (Joint) Lead Applicant can discuss and agree what format works best for DCM and DRCM to provide/ obtain the information required.**

# Annex A - Example of Delivery Chain Map

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# Annex B – Example of a Delivery Chain Risk Map

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| --- | --- | --- | --- |
| Organisation | Risk | Risk Rating | Risk Mitigations |
| Joint Lead Contracting (Tier 1)  Work Package 1 |  |  |  |
| Joint Lead (non-Contracting (Tier 2)  Work Package 2, 4 |  |  |  |
| Tier 2 Collaborator A  Collaboration agreement  Work Package 1 |  |  |  |
| Tier 3 Partner E  Sub-Contract  Work Package 1 |  |  |  |