

## STANDARD OPERATING PROCEDURE 2

### Research Applications and Contracts

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<b>Revision Chronology:</b>	<b>Effective date:</b>	<b>Reason for change:</b>
Version 2.0	8 June 2022	Biennial review. Updated sponsor reviewers and approvers. Added details regarding Notification of Intent to Submit (NoI). Added R&IS 'lead in' timescales. Updated flowcharts to show Senior Officer review. Added 'Medical School Financial Review' section with reference to the Warwick Medical School Research Margin Awareness Policy.
Version 1.6	29 October 2018	Change of title. Change to new format. Process update.
Version 1.5	4 December 2015	Web links and process flowcharts updated.
Version 1.4	5 August 2013	Updated procedural flowcharts. Updated web site links.
Version 1.3	28 March 2011	Updated with new electronic application system details (WOLF).
Version 1.2	30 March 2010	Updated web site links. Addition of text re: approval of applications by the CTU New Business Committee.
Version 1.1	31 January 2008	Format change only.
Version 1.0	March 2006	New SOP.

## STANDARD OPERATING PROCEDURE 2

### Research Applications and Contracts

#### 1. Purpose and Scope

The purpose of this Standard Operating Procedure (SOP) is to inform University of Warwick staff and students of the process for submitting research applications and contracts at the University.

#### 2. Definitions

<b>Full Economic Costing (fEC)</b>	Costing of a research project which if recovered across an institution's full programme, would recover the total cost (direct & indirect) to the institution, including an adequate investment in the institution's infrastructure. All projects should be costed in line with the <a href="#">Transparent Approach to Costing (TRAC)</a> methodology so the University is aware of the total cost liability of its research portfolio. As such, the fEC of a research project will be calculated in exactly the same way regardless of the funder of the project, and the funding (price) on offer. This will sometimes entail two versions of the project cost estimate being prepared, which defines the University liability, and the cost information requested by the Funder.
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#### 3. Background

All research applications and contracts must be administered in accordance with Financial Procedure 14: Research Grants and Contracts, which can be found at:

<http://www2.warwick.ac.uk/services/finance/resources/regulations/fp14>

FP14 requires that all research grant applications, tenders and all research contract proposals are made on behalf of and in the name of the University. They must accordingly be forwarded by the Principal Investigator (PI) or Chief Investigator (CI) to Research & Impact Services (R&IS) for submission by the University to the funder.

Before submission, R&IS will provide and check the costings in the proposal, ensure compliance with the funder's terms and conditions and University's policies, ensure University authorisation and appropriate signature(s) for the proposal are obtained and that research governance and regulatory issues have been considered.

Each academic department has a specific R&IS contact, and these can be accessed via:

<https://warwick.ac.uk/services/ris/our-people/>

#### 4. Procedure

##### 4.1 Responsibilities

<b>Chief Investigator/ Principal Investigator (CI/PI)</b>	<ul style="list-style-type: none"><li>Responsible for submitting the grant application, obtaining Head of Department/ Division approval and submitting a Notification of Intent to Submit (NoI) form well in advance of</li></ul>
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	the funder submission date/ application deadline and in accordance with the timescales set out in this SOP.
<b>R&amp;IS Supporting Officer</b>	<ul style="list-style-type: none"><li>• Responsible for developing and supporting applications through to submission and obtaining all relevant approvals in line with University policies.</li><li>• Responsible for costing applications, providing Full Economic Costings (fEC).</li><li>• Responsible for drafting and negotiating contracts.</li></ul>

## 4.2 When?

You are advised to commence this process as early as possible. R&IS requests that a Notification of Intent to Submit form (NoI) is submitted within the following timescales, with the final proposal and costs being ready and finalised prior to the required date of submission to the funder to allow the necessary checks, approvals, and signatures to be progressed. The NoI form can be found here:

[https://warwick.ac.uk/fac/sci/med/staffintranet/dopss/rss/how\\_to\\_submit/](https://warwick.ac.uk/fac/sci/med/staffintranet/dopss/rss/how_to_submit/)

The following minimum lead in times are requested:

- Standard projects (i.e. with up to two external collaborators; UK based; costs likely to be less than £1m; standard fellowships; excluding EU and International Funding bids): Submit to R&IS 15 working days prior to funder deadline;
- Medium risk projects (i.e. with two or more external collaborators; UK based; costs up to £3m; small scale but clinically complex projects including Clinical Trials of Investigational Medicinal Product (CTIMPs) and Investigational Medicinal Product (IMPs) with recruitment targets of up to 1,200 participants; need for insurance referral) (Excludes EU and International Funding bids): Submit to R&IS 30 working days before the funder deadline;
- High risk projects (i.e. with two or more external collaborators; internationally based; costs in excess of £3m; large scale clinically complex projects such as CTIMPs/IMPs with a recruitment target of over 1,200 participants and requiring insurance referral; bids for EU and International funding): Submit to R&IS 60 working days prior to funder deadline.

In cases where we are required to review and agree terms and conditions at the application submission stage, additional lead in times may be required and therefore please notify R&IS as early as possible. Once the NoI form has been sent, a R&IS supporting officer will be allocated to develop and support the application through to submission, obtaining all relevant approvals in line with University policies.

Finalised proposals, including finalised project costings for Warwick and all collaborators must be received at least five days prior to the submission deadline. In addition, finalised proposals that exceed £1.5m in price or which are deemed a major proposal as defined here: <https://warwick.ac.uk/services/ris/researchsupport/approvals> should be received by the R&IS officer earlier to allow sufficient time for the relevant approvals to be obtained.

Academic departments may have local requirements for the submission of research grants and contracts. Your R&IS contact will be able to advise you of these.

### 4.3 How?

Specific procedures are set out below in two flow charts.

Figure 1 summarises the procedure for submitting a research application and Figure 2 summarises the process for accepting grant awards.

Financial Procedure 14: Research Grants and Contract, can be found at:

<http://www2.warwick.ac.uk/services/finance/resources/regulations/fp14> or on the R&IS website:  
<https://www2.warwick.ac.uk/services/ris/researchsupport/>

Any grant application or contract which has implications for Warwick Clinical Trials Unit (WCTU) resources (staff, space, costs) must be approved by WCTU's New Business Committee and further information is available on the WCTU website:

<http://www2.warwick.ac.uk/fac/med/research/hscience/ctu/collaborating>

#### 4.3.1 Content of a funding application

The content of the application will vary according to the funding body concerned and some guidance on structuring a proposal can be found on the R&IS Team Web pages:

[http://www2.warwick.ac.uk/services/ris/researchsupport/prep\\_research\\_proposal/](http://www2.warwick.ac.uk/services/ris/researchsupport/prep_research_proposal/)

There are several items that will be required by all bodies:

- Project details (including Full Economic Costings (fEC))
- Details of the applicants
- CV for Investigators
- Budget breakdown - N.B. these must be in line with fEC as per the Transparent Approach to Costing methodology and include all costs required to undertake the research, funding or unfunded. R&IS will produce the required costings and will arrange the necessary internal approvals prior to submission. Further information on the fEC methodology can be found at: [http://www2.warwick.ac.uk/services/ris/researchsupport/costing\\_pricing/full\\_economic\\_costing/background](http://www2.warwick.ac.uk/services/ris/researchsupport/costing_pricing/full_economic_costing/background)

In addition, funders may require confirmation of the organisation who will act as research Sponsor. Further information on the definition and roles and responsibilities of a Sponsor can be found via the link below: [http://www2.warwick.ac.uk/services/ris/research\\_integrity/mentorship/](http://www2.warwick.ac.uk/services/ris/research_integrity/mentorship/)

[Further details regarding mentorship requirements and how to apply for University of Warwick mentorship can be found in SOP 3 'Research Mentorship':](http://www2.warwick.ac.uk/services/ris/research_integrity/mentorship/)  
<https://warwick.ac.uk/fac/sci/med/research/ctu/ctuintranet/conducting/planning/sop>

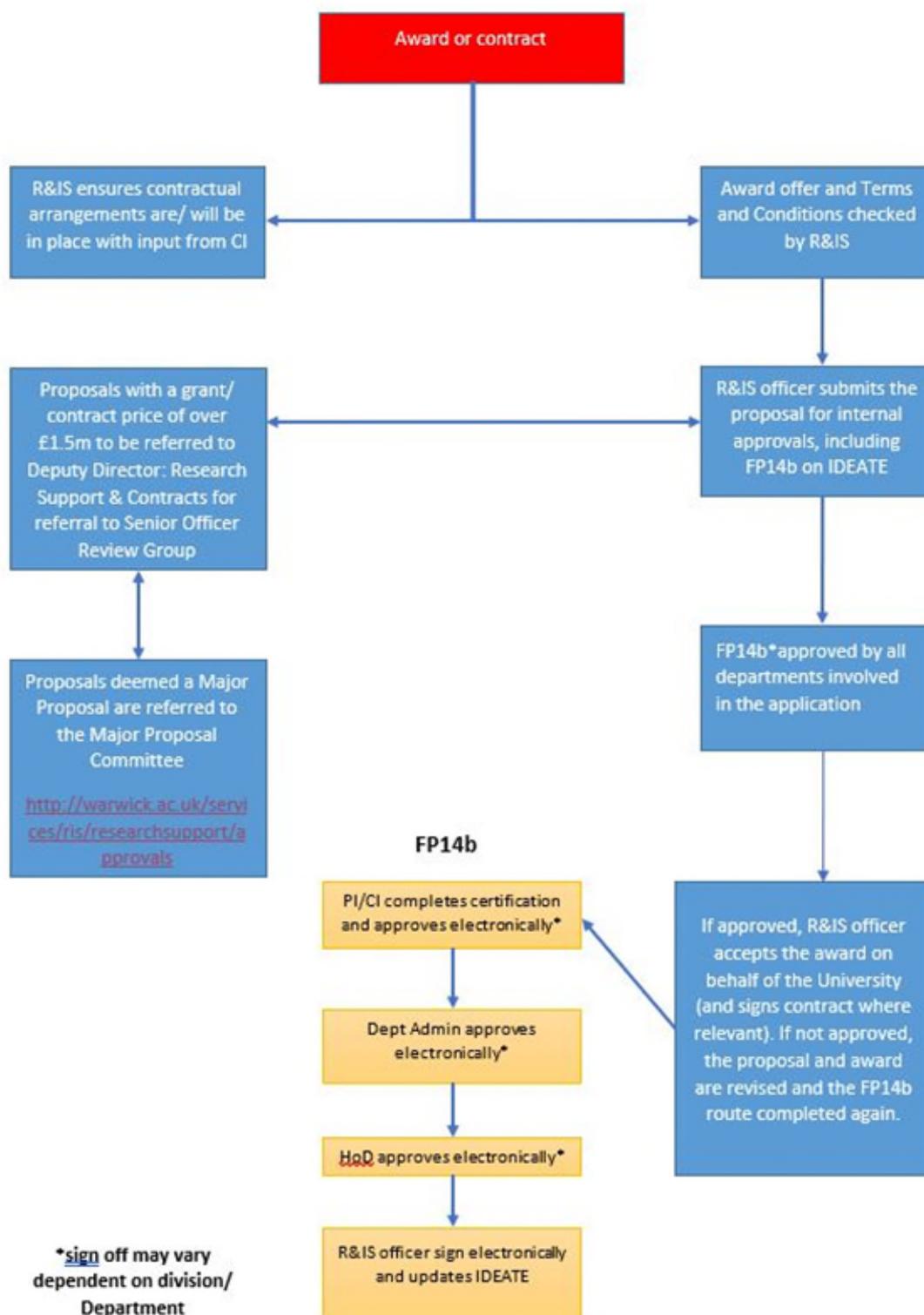
#### 4.3.2 Medical School Financial Review

In addition to the R&IS process for submitting grant applications, Warwick Medical School will also conduct a financial review of the project finances, including gross margins. The gross margin determines if a project is financially viable for the University, and the R&IS allocated officer will provide the margin information as part of the costing for review.

Figure 1 – Research Application Procedure, Research & Impact Services



Figure 2 – Procedure for accepting Research Awards and Contracts, Research & Impact Services



## List of abbreviations

CI	Chief Investigator
fEC	Full Economic Costing
HoD	Head of Department
NoI	Notification of Intent to Submit
PI	Principal Investigator
R&IS	Research & Impact Services
SOP	Standard Operating Procedure
TRAC	Transparent Approach to Costing
WCTU	Warwick Clinical Trials Unit

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