GD\_002

Pre-Award Checklist

|  |
| --- |
| **PRE-AWARD PROCESSES - IDEA TO SUBMISSION**  **Quick Reference Guide** |
| |  |  | | --- | --- | | **MAY TAKE 3 – 24 MONTHS**  **pre-award flowchart** | * [**Research idea & background preparation**](#_Research_idea_&) * [**Proposal development & writing**](#_Proposal_development_&)   + **Methodological support**   + **Finance & IP** * [**Application form**](#_Application_form) * [**Approval and submission**](#_Approval_and_submission) * **Checklist** | |
| * Research idea & background preparation   **THIS STAGE MAY TAKE 3 - 22 MONTHS - MAKE SURE YOU ALLOW PLENTY OF TIME**   * **Visit** [**http://www.uhbristol.nhs.uk/research-Development/for-researchers/lead-research-and-apply-for-funding/apply-for-and-cost-research-grants/**](http://www.uhbristol.nhs.uk/research-innovation/for-researchers/lead-research-and-apply-for-funding/apply-for-and-cost-research-grants/) * **Download**   + <http://www.uhbristol.nhs.uk/media/1815281/research_proposal_draft_template_v3.doc> and use it to sketch your research idea and gather as much information as possible   + <http://www.uhbristol.nhs.uk/files/nhs-ubht/Costing_Checklist.pdf> , and use it to guide you in preparing an initial outline of costs * **Contact R&D as soon as possible (**[funding@UHBW.nhs.uk](mailto:funding@uhbristol.nhs.uk)**)** * You will be directed to methodological, costing and Intellectual Property advice and support. |
| * Proposal development & writing   **THIS CAN TAKE A FURTHER 1-3 MONTHS**   * **Methodological support** * Contact appropriate methodological support service * Identify funder and scheme * Read the relevant funding scheme guidance and check deadline * Download the application form template for the relevant funding scheme (usually available as a Word document) * Start to complete application form template |
| * **Finance & IP** * Read the relevant funding scheme costing & IP guidance * Identify:   + Required financial signatories for UHBW and finance (costing) contacts for UHBW & other organisations   + IP contact details at partner organisations * Collate (with input / guidance from R&D Finance or Divisional Finance):   + Outline of UHBW costs   + External costing information (e.g. University fEC, costs from other sites) * Arrange Finance & IP Meeting (may be virtual) - Invite / contact:   + R&D Accountant (NIHR grants only)   + DFM of host Division (or representative) and D&T Division if appropriate   + R&D (RGM and/or RGCF) * Circulate in advance:   + Summary of research   + Outline of identified costs   + Copy of finance section of application form   + External costing information * Agree responsibility for completion of application form sections, collation of Finance and IP information |
| * Application form   **BEGIN APPLICATION FORM AS SOON AS FUNDING STREAM IDENTIFIED**   * **Read the relevant funding scheme guidance** * **Identify:**   + Applicants and signatories required to provide confirmation / approval   + Submission method (e.g. online, hardcopy, email) & location (portal URL / postal address / email address) * **For online applications, arrange in plenty of time:**   + Registration of all individuals on system (if input required)   + Confirmation of participation by all applicants and signatories (if required)   + Availability of all applicants and signatories to provide input when required * **Complete application form:**   + All sections of form, all uploads / attachments   + Check Finance sections of application form match costing |
| * Approval and submission   **ALLOW A FURTHER 2 WEEKS**   * + Check required order of approvals / submission   + Ensure all Approvals completed   + Submit application form (online and hardcopy if required) |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| * Checklist  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | * **Research idea & background preparation** | | | | | | |  | | Literature search |  | Discussed with patients |  | Possible collaborators identified |  | R&D contacted |  | | Discussed with colleagues |  | Research ideas drafted |  | Possible co-investigators identified |  | Initial outline of resources prepared |  |  |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | * **Proposal development & writing** | | | | | | | | | | | | | * + **Methodological Support** | | | | | | | | | | | | | Staff/institution eligibility checked | | |  | | Host | | | | |  | | | Funding remit checked | | |  | | PPI planned | | | | |  | | | Available funding (max/min) checked | | |  | | Possible referees identified | | | | |  | | | Methodology discussed | | |  | | Chief / Principal / Co-investigators identified | | | | |  | | | Protocol discussed | | |  | | Sponsor | | | | |  | | | * + **Finance & IP** | | | | | | | | | | | | |  | | **Contact details** | | | | **Contacted** | | **Availability checked** | | | | | R&D / Divisional signatories | |  | | | |  | |  | | | | | Finance contacts (UHBW & other orgs) | |  | | | |  | |  | | | | | **Meeting to discuss Finance & IP** | | | | | | | | | | | | | **Arranged** | | **Individuals invited / contacted** | | | | **Documents circulated** | | | | | | |  | |  | | | |  | | | | | | | **Responsibilities (name/contact details)** | | | | | | | | | | | | | **Complete application form** | **Prepare uploads / attachments** | | | **Collate finance information** | | | **Collate IP input** | | **Complete finance section of form** | | |  |  | | |  | | |  | |  | |  |  |  |  | | --- | --- | --- | | * **Application Form** | | | | * + **Submission method/s** | | | | **Method** | **Address** | **Deadline** | | Online |  |  | | Email |  |  | | Hardcopy |  |  | | Wet signature required? | Y/N |  | |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **People** | **Availability checked** | **Registered on portal** | **Participation confirmed** | **Approval of application confirmed** | | Lead applicant |  |  |  |  | | Co-applicants |  |  |  |  | | Administrator |  |  |  |  | | Signatories |  |  |  |  | | Sponsor |  |  |  |  | | Department Head |  |  |  |  | | Financial Director |  |  |  |  | | NHS facilities Manager |  |  |  |  | | Additional signatories |  |  |  |  | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | * + **Complete Application Form Sections** | | | | | | | | | **Section** | **Req’d** | **Who** | **Done** | **Section** | **Req’d** | **Who** | **Done** | | | Anonymity reqs checked |  |  |  | Relevant expertise |  |  |  | | | Research details |  |  |  | Outline budget |  |  |  | | | Contact info |  |  |  | Detailed budget |  |  |  | | | Lead Applicant details |  |  |  | Justification of costs |  |  |  | | | CVs |  |  |  | Mgt & Governance |  |  |  | | | Admin contact details |  |  |  | IP |  |  |  | | | Co-I details |  |  |  | Wider context |  |  |  | | | PPI |  |  |  | DH Monitoring |  |  |  | | | History of application |  |  |  | RDS involvement |  |  |  | | | CfS |  |  |  | Referees |  |  |  | | | Research plan |  |  |  | Mandatory uploads identified |  |  |  | | | Background & rationale |  |  |  | Optional uploads identified |  |  |  | | | Changes from 1st stage |  |  |  | Word / char count / format / doc type checked |  |  |  | | | Dissemination & output |  |  |  | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  | | --- | --- | --- | | * **Approval And Submission** | | | |  | **Online approval & submission** | **Hardcopy approval (wet signature if required)** | | Required order of approvals / submission checked |  |  | | Lead applicant approved |  |  | | Co-applicants approved |  |  | | Head of Department or Senior Manager / Director of Research, Grants and Contracts Manager, Clinical Director or Chief Executive signature (D Benton or E Griffiths) |  |  | | Host Organisation - Administrative Authority or Finance office signature (Director of Finance or Deputy) |  |  | | NHS facilities Manager |  |  | | Additional signatories |  |  | | Forwarded to R&D |  |  | | Forwarded to R&D Accountant |  |  | | Forwarded to R&D |  |  | | Submitted to funder |  |  | |