GD\_002

Pre-Award Checklist

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| **PRE-AWARD PROCESSES - IDEA TO SUBMISSION****Quick Reference Guide** |
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| **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**
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 |
| * 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**)**
* 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
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| * **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)
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| * Checklist

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| * **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 | [ ]  |

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| * **Proposal development & writing**
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| * + **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**  |
|  |  |  |  |  |

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| * **Application Form**
 |
| * + **Submission method/s**
 |
| **Method** | **Address** | **Deadline** |
| Online  |  |  |
| Email |  |  |
| Hardcopy |  |  |
| Wet signature required? | Y/N |  |

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| **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 |  |  |  |  |

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| * + **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 |  |  |  |

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| * **Approval And Submission**
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|  | **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 |  |  |

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