Research Process: Applying for external funding

Preparation and proposal development

1. Preparation

- Finding funding sources: Research Professional (funding search engine), Funder websites, colleagues, speak to Research and Innovation Manager (R&IM) within Research and Innovation Office (RIO)
- Training and information sessions on applying for funding, writing funding applications, specific funder sessions, research management etc. RIO run and organised training and online information: Research development, External research funding, Business Engagement Manager, Worktribe research management, Research data management, research integrity, public engagement

2. Proposal development

- If unsure on how to start please contact your School Research and Innovation Officer (SRIO) or Research and Innovation Manager (within RIO for research projects), or Business Engagement Manager (within RIO for commercial projects).
- For new commercial projects you may need a Non-disclosure agreement (**NDA**) or we may need to do **credit checks** on the company. Please contact your Business Engagement Manager for advice and assistance.
- You should speak to your School Director of Research to ensure that the funding you are intending to apply for fits within the School's research strategy. They can also advise about any school processes around applying for funding and general advice on the functioning of the School Quality Panel which peer reviews grant proposals.
- As soon as you plan to submit a grant proposal, **Create a project on Worktribe** (WT). WT can only be accessed from with the University or by using VPN if outside the University.
- Creating a project will notify the R&IM and SRIO, but you may also want to contact them directly to have a discussion about the project and funder
- To create a new project in WT you will need to enter some basic information about the project, these fields will be marked with an *. These fields can be edited later. If the funder you intend to apply to is not on the dropdown list of funders please email RMSAdmin@napier.ac.uk with the funder details and they will create the funder on WT or contact your Research and Innovation Manager
- If you have **project partners** you can add these onto your project using the partners tab. If we are the lead applicant we will need to contact them to arrange costs and additional information. If your partner is not on the dropdown list please email RMSAdmin@napier.ac.uk with the partner details or contact your Research and Innovation Manager
- It is important to complete the **ethics checklist** in Worktribe. If you answer yes to any of the questions (other than 'Do you understand the ethical implications and your responsibilities for your research?') you will need to send the project for ethical review by the ethics gatekeeper who is the **school research Integrity lead**. For any research involving **human subjects or data, clinical research or the NHS** should contact their school research Integrity lead and ensure you have informed your Research and Innovation Manager so they can do any additional checks.
- For clinical research projects, you should check that your project will be covered by the University insurance has the appropriate approvals from the NHS, and meets the criteria within the Research Governance Framework for Health and Social Care
- Once you have a draft proposal the Research and Innovation Manager or Business Engagement Manager provide additional **support** to ensure that the proposal meets the requirements of the funder and provide **additional advice based on their expertise** in funding proposals.
- The initial costs of the project will need to be determined using Worktribe. You as the proposal lead can do this, or you can request assistance from the Research and Innovation Manager or Business Engagement

Managersupporting your proposal. Their name should be on the Pre-award Liaison (research) or Business Liaison (commercial) sections on the details tab of your proposal on Worktribe. For research projects this will be pre-award liaison, for commercial projects this will be business liaison

- If you are **buying equipment** over £5K you must consult procurement. For any other purchases over the value £12.5K you must also contact procurement as you will need to complete a PPA1 form. For any IT equipment you will need to purchase you must contact ISServiceDesk@napier.ac.uk for advice at application stage to ensure the equipment meets all of the University specifications. This document details the process of purchasing IT equipment for research.
- Many funders now have **open research** policies and require that you have a Research data management planand open access publications. Support and advice on these can be accessed by contacting RDM@napier.ac.uk(**RDM**) and your subject librarian (**publications**). If you require advice on **data security/storage/file formats/encryption and databases** or will be generating data over 0.5TB or are doing high performance computing you can contact Lynn McIntosh via ISServiceDesk@napier.ac.uk. Some of the costs associated with open research may be recoverable from your funder, check with your Research and Innovation Manager or funder call documentation for further details.
- If you are the lead applicant and applying for research projects over £75K or you are an early career researcher your proposal will need to be **peer-reviewed**. Peer review is an effective mechanism for improving the quality of grants, which in turn should improve the success rates. This process may take 4-7 weeks.
  - The RI&IM will review the draft proposal and once they are happy that the proposal is developed enough for peer review that will appoint reviewers via Worktribe. (allow up to 3 weeks)
  - At least 1 reviewer will be from the core school research quality panel and 1 other peer-reviewer from the Worktribe list. Reviewers will provide constructive feedback on the proposal and set the appropriate traffic light status on Worktribe. (allow 1 week).
  - Revision of proposal based on feedback. Further feedback can be provided on revised proposal (allow 3 weeks for this)
- During the proposal development and peer-review stages the budget may change, you can update this directly in Worktribe.
- It is important to enter any **benefits** of doing the project or which may result from the project. These will mitigate any **risks** identified by the Research and Innovation Manager or Business Engagement Manager looking after your proposal.
- **Risks** to the University arising from the project based on funderT&Cs, project details will be assessed by the school Research and Innovation Manager or Business Engagement Manager looking after your project- they will add this to Worktribe
- If there is any additional information collected for the project/proposal eg partner cost spreadsheets, quotes for equipment, Letters of support, additional info about ethics etc please upload to the Worktribe record before submitting for approval
- Once all the above has been completed you are nearly ready to submit your Worktribe project for approval by the school. Only once approved by the School can you submit your proposal to the funder. Please check you have added in all the information about the funder, research tags, project team, costing, benefits, ethics and have uploaded your latest draft of the proposal. **Please leave enough time for the proposal to be approved by at least two approvers before the funder deadline!!! 2weeks**

School approvals for/and submission of proposal to funder

3. School approval to submit proposal to funder

- Click on **submit for approval**.
- Add any additional information in the text box for the reviewer which they may need to consider
- The proposal will then be reviewed by the RIO pre-award approver. This is the school Research and Innovation Manager or Business Engagement Manager looking after your project. They will check the project details, benefits, ethics, risks and proposal documentation.

- The RIO approver will then
  - return the project for you to add further information and development or
  - approve the project for review by the school Director of Research.
- The Director of Research will review all the project details and approve or return for amendment. They will also accept the management of any medium risks identified by RIO
- For projects with a red risk, cost to HEI of over £500K, or contribution to overheads -£20K or more the project will go to Alistair Sambell for review on behalf of ULT.
- Once the project has been approved the status will change to **Bid Submission**

4a. Submitting proposal to funder (Research)

- Depending on the funder there may be RIO/institutional approval of the actual proposal by physical signature or by approval on an electronic grants management system.
- You will also need to ensure there is time for this approval after/simultaneously to the Worktribe approval. **RIO/institutional approval of applications forms will only occur after the proposal has been approved on Worktribe by the** Director of Research
- Common funders which require physical signature include the Carnegie Trust for the Universities of Scotland, CSO
  - For these proposals contact your Research and Innovation Manager who can arrange the signatures.
  - Once signed you can submit to the funder and upload a copy of the submitted proposal to Worktribe. Please also notify the Research and Innovation Manager who will update the record, marking the proposal as submitted and adding the submitted date (if different from status change)
- Common Electronic grants submission systems which requires RIO approval after you submit include Je-S (RCUK), eGAP2 (British Academy), Flexi-grant (Royal Society), Grant tracker (Wellcome trust, Leverhulme trust and various Medical Charities).
  - For these proposals upload all the information and submit
  - This will notify RIO who will log in, check all the details and submit to the funder (or return to you for amendment)
  - The Research and Innovation Manager will upload the proposal to Worktribe, mark as submitted and add the submitted date to the record (if different from status change)

4b. Submitting proposal to funder (Commercial)

- Commercial projects may or may not have a proposal to submit to the funder. Tenders will have a proposal/tender document, but consultancy is likely to only have a schedule of work which will form part of the contract
- If there is a proposal which is required to be submitted to the funder please follow the process as for research proposals, but liaise with your Business Engagement Manager
- For projects which have no proposal to be submitted then the Business Engagement Manager will mark the project as submitted and initiate the contract negotiation with the assistance of the RIO contracts officer.

5. Bid awaiting response

- Once submitted to the funder there will be a period of review before they will assess the proposal and make recommendations for funding.
- The funder may contact you during this period for further information, or amendments to the proposal or costs. If this happens please keep the Research and Innovation Manager or Business Engagement Manager in the loop and upload any documentation about this. You can notify the project contact via the comments tab within the Worktribe project to let them know of any potential changes
- The Research and Innovation Manager or Business Engagement Manager will also be able to provide you with revised costs for the funder if requested.

- The School Research and Innovation Officer may contact you from time to time to check up on the status for the proposal

Funder notification and award set-up

6. Project funding notification

- Once a project has been assessed and approved by the funder they will send a notification on the outcome of your proposal – successful or not
- Please inform your Research and Innovation Manager or Business Engagement Manager on the outcome and provide them with the documentation. They will then update the record on Worktribe once all the official documents are received. You cannot start or announce project until this is formally accepted

7. Awarded projects

- Once a project has been assessed and approved by the funder they will send an intention to award, notification of award, award letter, contract or similar documentation (usually to the Principal Investigator). The status of the project will **only be marked as successful once the official award letter and contracts (including collaboration agreement if we are a partner) are received and accepted by RIO**, therefore PIs must send the relevant documentation to their R&IM
- All the T&Cs of the award letter or contract will be reviewed by the Contracts Officer before official acceptance of the award.

8. Project set up

- Any changes to the awarded dates or costs, as per the award letter, will be updated by the Research and Innovation Support Officer.
- RIO may request for additional admin information on the project at this stage to ensure that the project displays properly on the website once the project is Live
- The Research and Innovation Support Officer will then initiate the integration with the Agresso finance system to generate a project finance code for the project (RXXX).
- The Research and Innovation Support Officer will also set up project milestones based on the T&Cs of the project, or flag that formal ethics approval may be required to start.
- You will receive a notification once the project number has been assigned which includes reminder of finance code, details of any actions related to the project management (purchasing, adding any documents during project lifetime, post award contacts), details about project data management (DMP and X:drives) and an invitation for a project set up meeting to discuss all aspects of project management specific to your award T&Cs
- Project set up meeting will be organised by Research and Innovation Support Officer for the PI, project manager (if included in application), School Research and Innovation Officer and Research Project Finance Officer to discuss all the requirement and T&Cs of the funder and how the project team will be supported by the post award staff during the project. Milestones, staff recruitment & allocation, reporting requirements and any other issues can be discussed at this time.
- Any formal ethical approvals can start at this time. Research and Innovation Support Officer will notify PI and school Integrity lead.
- The project will be marked as Live 1 month prior to the start date to allow the project to appear on the web page (non-commercial research projects only) and start advance procurement.
- **For recruitment and assignment of staff to projects** the PI should liaise with the School Research and Innovation Officer to arrange for SAFs and salary change forms to be generated for the project. PI and/or SRIO must inform

the Research and Innovation Support Officer of any researchers recruited to projects so they can be added to the project record.

- If there is a **delay to the project start**, agreed by the funder, please contact the <u>Research and Innovation Support Officer</u> who will update the record with the new dates.

Project management

9. Project live

- **Only once the project has an R number, the agreed start date has arrived/passed and any other ethical/ integrity requirements approved can the work on the project begin**. Starting before this will be a breach to the T&Cs of award and may not be covered by University insurance.
- For commercially funded projects (consultancy and contract research) to appear on the external website, the T&Cs of award will need to be checked and then approved by the <u>Director of Research</u> to ensure it is within the School's interest to make this activity externally visible.
- **Spending on the project** will be approved using the School Commitment Spend System (<u>SCSS</u>) and monitored by the PI and the <u>School Research and Innovation Officer</u> **via the project actuals tab** on WT. Any large items to be purchased may also need to go through <u>procurement</u> as identified at Bid Development. Invoicing of the project will be the responsibility of the <u>School Research and Innovation Officer</u> (commercial projects) or <u>Research Project Finance Officer</u> (research projects). Other Non commercial projects will be monitored by the school Support Service (SSS).
- Any staff not working 100% FTE on any project should keep **timesheets** of their activity for audit purposes.
- **Official documents** generated during the project should be uploaded to the <u>Worktribe</u> project documents tab eg interim and final reports, invoices, amendments to original T&Cs, formal ethics approvals etc
- Once the R&I activity begins all **data and information should be securely stored and maintained** as per the <u>Research data management plan</u>.
- Any additional project management milestones required can be added to project by PI or post-award admin (<u>School Research and Innovation Officer</u>, <u>Research Project Finance Officer</u>)
- If **staffing on project or significant changes** (budget or end date)are required during the course of the project you should contact <u>Research and Innovation Support Officer</u> who will check this is appropriate for the funding T&Cs, and check that this is within budget. The <u>Research and Innovation Support Officer</u> may also contact the funder for confirmation of this. Once confirmed your School Research and Innovation Officer will assist with the appropriate forms (SAFs, salary change form etc)
- **Research outcomes** resulting from the project can be added to <u>Worktribe</u> in the repository (publications, conference abstracts, reports, etc), via the recognition section (invited talks, media activity etc) or the Marketing menu (news, events, public engagement etc). Where possible please link to project and funder.

Project complete and closed

10. Project complete

- Once the project end date has been reached the PI should select the project complete button. Once submitted, upload the **final report** to the project via the documents tab if you cannot do this the SRIO can do this for you. This will then notify the post-award admin (<u>School Research and Innovation Officer</u>, <u>Research Project Finance Officer</u>) who will then ensure all the finances are up to date cnd reconcile any budgets.

11. Project closed

- Once all project management checks are complete and the budget is fully reconciled the Research Project Finance Officer will close the project.
- The Research and Innovation Support Officer do a project close review for audit purposes. This will involve exporting a project report from Worktribe with additional questions about the delivery and success of the project. This will involve liaison between the PI and Research Project Finance Officer to collect this information. In some cases a project close meeting may be required to achieve this. The finalised document will be uploaded to the document tab for the project.
- Any further Research outcomes after project close can be added to Worktribe via the :
  - Output menu (publications, conference abstracts, reports, etc)
  - Recognition section (invited talks, media activity etc)
  - Marketing menu (news, events, public engagement etc)
  - Impact module *new development Autumn 2017* (corroboration evidence)

Information on how to do this can be found on the Research Management webpages.