

## RESEARCH Contract/grant/proposal approval – Notes on completing RA(1)

Form RA(1) **must** accompany every research contract, grant application or proposal, irrespective of value.

### Procedures and Responsibilities

The originating research institute is responsible for providing the Research Directorate with comprehensive and accurate documentation to allow legal and financial scrutiny of proposals and contracts.

In order to facilitate efficient consideration of any documentation, the Research Directorate will ensure the documentation is despatched to the appropriate University officers for approval. Final approval is from the PVC Research and Enterprise. Documentation will normally be considered and returned to the originator within 1 week. Proposals requiring urgent attention should be notified as far in advance as possible and the "Deadline for approval" completed on the form.

**Electronic submission** - This form still needs to be completed with the appropriate approvals for bids submitted electronically by Je-s or other forms of electronic submission to the grant awarding body. For guidance on procedures for electronic submission please contact Angus Duncan.

*The originating department should make arrangements for dispatch to the Research Directorate (FAO Angus Duncan) E302, Park Square by whatever means suitable, given time constraints and security.*

**Name of Person responsible for the proposal** – The person here will be the supervisor of the contract as defined in paragraph 13.0 of the financial regulations.

**Name of Research Institute** - If more than one institute is involved, the lead institute should be named here. Otherwise insert the name of the faculty/department seeking approval.

**Title of Proposal** – Please ensure that the title is stated clearly.

**Funding Body** - Please be as clear as possible in recording this as the information may be used for reporting to HEFCE.

**Value of Proposed Contract** - This should be the total sum payable by the client for the services described in the proposals or contract, inclusive of VAT where appropriate.

**Start/End Date** - This is the start and end date of the funding, should it be awarded.

**Deadline for approval Process** - Applications are normally processed in 1 week; if the proposal requires approval at short notice, please give the deadline by which you must receive it.

Does this relate to a previous application?

Is this an application for funding?

Is this a contract requiring approval\*? ]

**Approval by Director of Research Institute** - See paragraph 13.2 of the financial regulations before signing. The signatures should be those of the Director of the appropriate Research Institute.

**Approval by Director of Finance** – Before approval by the PVC Research & Enterprise the costings must be approved by the Management Accountant responsible for research in the Finance Office. It is important therefore that the costings have been checked and agreed with the Management accountant before submission to the Research Directorate.

\*If the bid involves a contract this will need to be approved by the **University Solicitor**

**For office use only:** A *reference number* will be allocated by the Director of Research and must be used in all future correspondence concerning the proposal or bid. *Category of funding/Unit of Assessment:* these are HEFCE categories and will be allocated by the Research Directorate.

Amendments to the documentation may be required to ensure that binding commitments are not made in advance of a signed contract; to make terms and conditions acceptable; to ensure legality; to bring the contract under English Law; to ensure it conforms to the University's terms of business; or to ensure that adequate insurance cover may be provided.

The Director of Finance will approve/request further work on costings, based on the information provided by the originating department.

### Finally

When approved, the contract or proposal may be submitted, with this form, for signature by the appropriate officer(s) (dependant on the amount of the grant).

Professor Angus Duncan

Research Directorate E302  
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*Revised 25 January 2003, September 2007 by AD*