

Research Proposal Generation and Authorisation Procedures

2000/2001

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1. Within the context of the Institute's Strategic Plan and those at local Faculty and Unit level, it is important that Research Proposal Generation to external funders by all researchers and research teams is to be encouraged and supported. However, because of the direct (eg staffing) and indirect (eg via overheads) resource implications that the undertaking of research programmes may have on the Faculty, Unit and Institute, it is imperative that we are aware of the full implications in financial and resource terms that a successful research proposal may create.
2. While the marginal or direct cost are often supported, most external research funders do not fully meet the associated overheads of undertaking research and typical examples are as follows:
 - Research Councils: 46% of manpower costs
 - EU Framework V: 20% of total (excl capital) costs
 - UK Charities: Often 0%Since the true overheads are closer to 100% of manpower costs, this means that most externally-funded research programmes are run at a financial loss to the Institute. This loss, of course, is offset by the value they bring to the respective curricula, staff expertise and the Institute's reputation.
3. The staffing implications are particularly important at this present time. Therefore, the consequences of having to employ a salaried researcher such as a Research Assistant or Postdoctoral Research Assistant must be considered from both the cost and human resource points of view.
4. In order that researcher teams and the host Faculty/Unit and Institute may be fully aware of the full implications that accepting a successful research proposal may have, the following **Research Proposal Generation Procedure** has been agreed by the Executive Team and will be directed by the Director of Research.
5. **Procedure:**
 - The researcher/team will prepare an outline "Preproposal Statement" using the appended proforma which must be authorized by the appropriate Dean or Head **and** the Director of Research.
 - A copy of the completed proforma is sent to **The Head of Human Resources** for logging with the Staffing Sub-group of the Executive Team.
 - The researcher/team must liaise with the Director of Research in preparing the full proposal which will be authorized by him on behalf of the Institute prior to its sending to the funder.
6. **Roles of Director of Research:** In addition to agreeing the project outline via the Preproposal Statement stage, these will be to:
 - confirm that the proposal fits with the Institute's and Faculty/Unit's strategic plans,
 - be assured that the proposal addressed the funder's requirements and/or terms of reference,
 - confirm that all stated collaborators are on board and contributing as stated in the proposal,

- work with Finance and check that financial requirements meet the conditions of the funder, cover all Institute direct costs, including an appropriate indirect overhead content where possible and may be implemented within the Institute's Financial Regulations,
- confirm that any indicated matched funding, whether in cash or in-kind, is forthcoming or exists,
- ensure that intellectual property issues (including foreground and arising IP) are satisfactorily addressed, and
- authorise the proposal on behalf of the Institute.

UNDER REVIEW (12 04 07)

The Pre-proposal Stage: PROJECT PROPOSAL OUTLINE (November 2000)

(To be completed and sent for logging with the Staffing Establishment Review Committee before a Research Proposal to an External Funder is fully prepared and eventually sent out)

Project Title:

Faculty/Unit:

Proposal Team Members:.....

Summary of the Major Objectives (<100 words):

Funder(s):

Duration:.....

Level of Funding (eg 100%, 50%, etc).....

Matched Funding Source (s)(if relevant) and Levels:

Partners/Collaborators:

Indicative Budget of Total Project:

Indicative Bolton Institute Budget:

Staffing Implications, Costs and Sources of Funding:

Overall Financial Benefit to Institute (eg. In terms of Mainstream savings to academic, support, technician salaries; Overhead contributions; Capital gains; etc):

This proposal fits the Institute's and Faculty/Unit's Strategic Plans and has the support of the Faculty/Unit:

Signature (Dean/Head):**Date:**.....
Signature (Institute Director of Research):.....

UNDER REVIEW (12 04 07)

The Research Proposal Generating Process: Bolton Institute - November 2000

For the foreseeable future and until the staffing and budgetary challenges presently faced by the Institute have been overcome, all researchers and research teams preparing bids or funding proposals to outside bodies which have staffing implications, must follow the procedure outlined below and complete the short appended summary form.

This form must:

1. Be signed by the appropriate Dean/Associate Dean/Head;
2. Countersigned by the Director of Research; and
3. Sent to The Personnel Department for logging with the Staffing Establishment Review Committee.

If this procedure is not followed, then if a successful proposal requires the employment of additional staff, the likelihood of this being sanctioned by the Committee may be lessened.

The proforma will also simplify the overall proposal generation process in that the Director of Research will already be aware of the proposals, have agreed to its being eventually authorized in principle and be in an advantageous position to assist with the full bid preparation and its authorization as defined within the Institute's Financial Regulations.

