Policy Research Programme
Guidance for Applicants

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1. Introduction

The Policy Research Programme (PRP) is a national programme of research dedicated to providing an evidence base for policy-making in the Department of Health (DH). It provides information to the Secretary of State for Health and Ministers directly and through policy directorates in the Department and covers all aspects of the Department’s policy-making activity. It works alongside other national research programmes in the National Institute for Health Research (NIHR) whose work is primarily of relevance to the NHS.

Research questions focusing on specific key areas of policy making or evaluation of policy are advertised, and applications are accepted which address these issues. The PRP is not a responsive mode commissioning programme and will not accept applications on subjects outside of those priority areas/calls advertised.

Potential applicants are encouraged to visit http://prp.dh.gov.uk/ for the most up-to-date information before submitting an application. For most calls there will be a regularly updated list of ‘frequently asked questions’ (FAQs) on the website to supplement this guidance.

This document sets out the detailed process for applying for funding from the PRP.

2. Aims and Scope of the PRP

The primary objective of the PRP is to assist colleagues in DH who are formulating, developing or evaluating policy in England by:

- Providing evidence to inform policy development and implementation in timely and accessible ways, including assessment of its potential impact and cost effectiveness;
- Evaluating existing policies or experimental pilots before policies are fully implemented; and
- Commissioning research evidence for policy making over the longer-term.

To do this, the PRP commissions a wide range of different types of primary and secondary research, including formative and summative evaluations, trials, longitudinal studies, secondary analysis, systematic reviews, and scoping papers of research needs. In addition to individual projects, the PRP also funds multi-study research initiatives (linked groups of studies providing a range of perspectives on a key policy area or issue) and long-term programmes of research in academic Policy Research Units (which are capable of providing a rapid response function).

The PRP works across the full policy remit of the Department of Health and PRP commissioning priorities are primarily determined by the Department’s strategic objectives. The PRP also engages in consultation with colleagues across government and other key stakeholders.

In assessing requests for research from policymakers the PRP will consider their strategic fit with current commissioning priorities, taking into account:

- Ministerial priority and relevance to the aims and objectives of DH;
- Size and importance of the problem to be addressed;
- Existence of well-defined plans for introducing research results into policy activity;
- Timeliness and feasibility of the research;
- Likely return on the investment in research; and
- Availability of other research budgets.
3. Eligibility

All institutions/organisations within the United Kingdom are eligible to apply for PRP funding. However, applicants must be able to justify how research not carried out in England will be capable of informing English policy. This particularly applies if applications include work to be carried out by researchers based outside the UK.

4. Funding Amount

This will vary depending on the scale and nature of the research activity to be conducted. The amount of funding available for a given piece of research will be stated within the research specification document.

5. PRP Research Commissioning

The Policy Research Programme commissions new research via its managing agents, the Policy Research Programme Central Commissioning Facility (PRP CCF). The PRP CCF also acts as a secretariat for the PRP Commissioning Panel and is a point of contact for any queries about application procedure.

For general enquiries call 0208 843 8027 or email prp@prp-ccf.org.uk or visit http://prp.dh.gov.uk

The PRP CCF runs an online application process and all applications must be submitted electronically. No applications will be accepted that are submitted by any means other than the online process. Deadlines for the submission of research applications occur at 1.00 pm on the day indicated and no applications can be accepted after this deadline. We strongly recommend that you submit your application on the day before the deadline. Applicants are responsible for allowing sufficient time to submit an application.

Once the 1.00 pm deadline passes, the system shuts down automatically and CCF Programme Managers are unable to re-open it. If you are experiencing any technical difficulties submitting your application, please contact the CCF on 0208 843 8027 in good time, before 1.00 pm on a closing date. Details on how to handle any technical difficulties can be found in section 14 of this guidance.

6. Selection Process

PRP research is commissioned either through a one stage or two stage application process. Three rounds of commissioning are run every year. This guidance document relates to both one and two stage application processes for PRP funding through open competition. Details of these processes follow below:

One stage application process

In cases where commissioning is particularly urgent/time-limited, applicants may be invited to submit full applications only. One stage commissioning involves the following steps:
• Applicants are required to submit a full application.
• Full applications may be subject to a sift.
• All applications are sent out for peer review. Reviewers assess applications against the criteria set out in section 7 of this document. Applications are reviewed by both stakeholder and independent academic referees.
• Wherever time permits, applicants will be given one week to respond to the peer reviewers’ comments.
• Full applications, peer reviewers’ comments and any responses to those comments are subsequently considered by the Commissioning Panel.
• Applicants are normally informed of the outcome of the call (in relation to their application) within 4-5 months of submission of a full application.
• Note: The PRP is unable to enter into further correspondence once written feedback has been provided.

Two stage application process

Two stage commissioning involves the following steps:

• Applicants are required to submit an outline application.
• Outline applications are sifted by the PRP Commissioning Panel.
• Applications that are incomplete, too remote from the issues and/or research criteria set out in the research specification or have clearly inadequate presentation or methods may be rejected at the sift.
• All applicants are informed of the outcome of the sift (in relation to their application) in writing.
• Outline applications that are successfully short-listed by the Commissioning Panel will proceed to stage 2 of the application process and applicants are invited to submit a full application for consideration.
• Full applications are submitted by short-listed candidates.
• Note: The outline application form contains a subset of questions found in the full application form. Questions completed in the outline form will be automatically pulled into the full application form. As such, full application questions are automatically populate with outline application responses, which are still be editable.
• Full applications are sent out for peer review and are assessed against the criteria set out in section 7 of this document. Applications are reviewed by both stakeholder and independent academic referees.
• Wherever time permits, applicants are given one week to respond to peer reviewers’ comments.
• Full applications, peer reviewers’ comments and any responses to those comments are subsequently considered by the Commissioning Panel.
• Applicants are normally informed of the outcome of the call (in relation to their application) within 7-8 months of submission of a full application.
• Note: The PRP is unable to enter into further correspondence once written feedback has been provided.

Guidance for completion of the PRP application form, set out in section 8 of this document, relates to questions found in both outline and full application forms. This is to allow
applicants time to consider their responses to full application questions ahead of the notification date for short-listing.

**The PRP Commissioning Panel**

The PRP Commissioning Panel is chaired by a senior academic and membership of the Panel covers a wide range of disciplinary areas, including subject experts brought in for each specific theme. The Panel also includes involvement from patients and/or members of the public (where possible) and may include observers from other government departments and executive agencies.

The PRP Commissioning Panel is informed by peer reviewers’ comments and any applicants’ responses to these comments. However, ultimately it is the responsibility of the Panel to make any funding recommendations to the Department of Health.

**7. Selection Criteria for PRP Applications**

Full applications are sent for peer review by both stakeholder and independent academic referees, as well as lay review wherever possible. It is essential that you take time to ensure that sections of the application form marked as needing to be accessible to a lay audience are understandable to patients and members of the public who may review your application.

Reviewers are directed to consider applications against the following assessment criteria:

- **Relevance of the proposed research** to the research requirement outlined in the research specification
- **Quality of the research design and work plan** (i.e. clear research questions/objectsives, sound design and detailed methodology to address the questions/meet the objectives; clear milestones, identification of possible risks and factoring in of ethical considerations)
- **Quality of the proposed management arrangements** (i.e. clear definition of roles, risk management arrangements and how the efforts of individuals will be coordinated)
- **Strength of the research team** (i.e. depth and breadth of relevant expertise and track record of applicants in a related area)
- **Impact of the proposed work** (i.e. likelihood of significant contribution to the evidence base in the relevant key policy area)
- **Value for money** provided by the application
- **Involvement of patients and the public**, where relevant to the research question(s)

The Policy Research Programme places emphasis on the potential of the research it funds to impact upon healthcare, public health and social care policy and/or add to the knowledge base on health and well-being.

All applications must:

- Indicate that the research team is fully aware of relevant literature and any ongoing studies on the topic
- Consider risk, making reference to any anticipated difficulties of access to respondents and/or data, etc, and how these will be overcome
- Show that current research governance frameworks and procedures for ethical approval have been followed, noting that **obtaining appropriate approvals is the responsibility of the applicant**
- Give a full justification for the duration of the research, demonstrating that the objectives are achievable within the resources and timescales proposed, and justifying the time inputs of members of the research team
• Discuss dissemination of results, including how any participants will be informed of the outcomes of funded work

8. Guidance on Completing Outline and Full Application Forms

This guidance for completing the PRP application form relates to questions found in both the outline and full application forms. This is to allow applicants time to consider their responses to full application questions ahead of the notification date for short-listing. **Guidance relating to questions found in the outline application form is marked with an asterisk (*).**

The following notes are intended to provide an overview and should be used in conjunction with on-screen help available as you complete your application online. **You should click on the 📝 by each question on the online form as it provides you with information relevant to the content required in your answer.** In some cases, the on-screen help will also give more information about how the allocated word count should be divided between different parts of your answer.

**Using the correct form**

Please note that you must use the correct online application form for the call you wish to apply for within a given commissioning round.

**Reference number**

While preparing your application, and until such time as you ‘Submit’ your application, a randomly generated 4-digit number will be assigned to your entry online. You should note this 4-digit identifier as you will need it for subsequent enquiries whilst the call is open.

Once you have successfully validated and submitted your form, a formal PRP-specific reference number for your application will be generated that will be unique to your submission. If your application is successful, this unique reference number will stay with the research for its lifetime. Please note that this reference number is not filled in by the applicant and should be generated when the form is submitted online.

**Section: Research Details**

**Research title**

The title of your research should be concise (20 words maximum), clearly descriptive and contain keywords relevant to the proposed research.

**Host organisation**

If more than one organisation is involved in this research, please indicate the organisation which would administer any funding and with whom a contract would be placed. Authorised representatives of this organisation should sign the **Declaration and Signatures** form to confirm that they are prepared to host the research and that the costings (including those for any support and treatment costs) are accurate.

**Research duration**

There may be guidance on the timeframe for completion of research within the research specification. Please indicate the expected length of the research in months, building in time needed to acquire any ethical approval.

**Proposed start date**

Successful applications will be expected to start within a reasonable time period following confirmation of funding (and within six months). Your proposed start date should allow sufficient time to obtain any necessary regulatory approvals and for submitting any appropriate documents to the PRP.
*Section: Lead Applicant’s Details*
Please provide the name, address and contact details of the lead applicant, including position held and department. Describe his/her role in the programme, including the percentage of time devoted to it. Information about the lead applicant’s wider research activities is also expected.

**Administrative contact information**
Please provide the details of the administrative lead as a secondary point of contact for any queries relating to the application should it be supported. This need not be a co-applicant.

*Section: Lead Applicant’s CV*
The lead applicant should visit the ‘Manage My Details’ area of the Research Management System and complete an online CV which will then auto-populate this part of the application form. Your CV should be updated before submitting any new application to the Policy Research Programme and **should not exceed 4 pages in length**. Additional pages will not be made available to the Commissioning Panel.

**Section: Joint Lead Applicant(s)**
It is permissible, in exceptional circumstances, for an application to be led by joint Lead Applicants. In such instances, justification should be provided, within the **Case for Support** section, under ‘relevant expertise and experience’, to demonstrate why more than one individual would be required to lead this research (and how this would bring added value to the application).

Even though applicants are given the opportunity to add a joint-Lead Applicant to their application, communication regarding any aspect of their application is always **only** with the Lead Applicant as it is this person’s institution with which the research contract will be placed.

*Section: Co-Applicant Details*
Please note that upon invitation the names, addresses and contact details of all co-applicants (up to a maximum of 6) will be displayed within the application. Outline the role each member of the research team will play in the research on a day-to-day basis, including the amount of time to be spent working on the research, either as a percentage or proportion of a full time equivalent (FTE). All co-applicants are expected to make a substantive contribution to the delivery and management of the research described in the application and as such will all be required to **both confirm and approve** their participation in the research.

A **curriculum vitae** for each applicant is mandatory, and **should not exceed 4 pages in length**. Additional pages will not be made available to the Commissioning Panel. Once a co-applicant has entered or updated their CV (the system is set up so they must do this themselves), their details will automatically be ‘pulled through’ into the online application once they have approved their participation.

If you plan to involve more than the permitted number of co-applicants, then these additional team members can be listed as collaborators and their contribution to the research must be detailed in the ‘relevant expertise and experience’ field of the **Case for Support** section.

**Section: History of Previous Applications**
Please indicate if this application – or part of this application – has been previously submitted to the PRP, another DH funding scheme, an NIHR funding scheme or another funding organisation.
Applicants must provide information on the title and reference number of any previous application, which funding body it was submitted to, the outcome of that bid for funding and (where applicable) an indication of why it was unsuccessful. If a related application has previously been submitted to a funding organisation, applicants must summarise how this application differs from the previous one, noting any changes made in response to feedback you may have received.

Please note that you are able to upload a copy of the response from the relevant funding organisation and/or any pertinent reviewer comments/reports within the Supporting Documentation section.

*Section: Patient and Public Involvement*

The Department of Health and the Policy Research Programme support inclusion of the public in all stages of the research process, including commissioning.

Applicants are required to detail what - if any - active involvement of patients and the public is planned in their research, how it will benefit the research, the reasons for taking this approach and arrangements for training and support. Information is also required on how patient and public involvement has informed and/or influenced the development of the application. If there are no plans for involvement, applicants must explain why patient and public involvement is not thought necessary.

All patient and public involvement needs to be undertaken in a manner that acknowledges that some people may need additional support, knowledge or skills to enable them to become involved effectively (see INVOLVE publications for guides for researchers at http://www.invo.org.uk/). Applicants should also note that a budget line for the costs of patient and public involvement is included in the Finances section of the application form and any resources requested must be justified.

As many, although not all, research studies will have a significant component of patient and public involvement, additional guidance written in close co-operation with INVOLVE (which gives further information on active public involvement) is available at the end of this document (Appendix A). This is intended to be a helpful resource when developing the PPI aspects of your application.

It is essential that you make the content of your application and the implications of your research evident to lay members of the Commissioning Panel as well as lay reviewers. Lay reviewers will be directed to focus their attention on the Abstract and Patient and Public Involvement sections of the application form (for both outline and full applications). A lay reviewer should thus be able to read your Abstract and PPI section alone and find enough information on PPI therein to judge your application in terms of inclusion of the public.

*Diversity*

The Department of Health’s Research Governance Framework (RGF) for Health and Social Care says that, whenever possible, research should take account of age, disability, gender, sexual orientation, race, culture and religion in its design, undertaking and reporting. The body of research evidence available to policy makers should reflect the diversity of the population (2.2.7).

Applicants are advised to be familiar with the RGF and indicate how they have considered the relevance of diversity in their proposed research. If you wish to view the RGF, it can be downloaded in full from the Department of Health website:

Section: Case for Support – Part 1

Aims and objectives
Outline how the research will address the question(s)/issue(s) posed in the research specification and, where appropriate, state the main hypothesis. Number your objectives and address each of these in the detailed ‘research plan’.

*Plain English summary
The abstract should summarise (avoiding technical terms and undefined acronyms):
- How this application addresses the question(s) in the research specification
- Why the proposed research is important
- How and where the research would be carried out
- What outcomes would be used to assess the success of the research (what the results would mean for users and other stakeholders)
- What, if any, ethical issues would be involved in this study and arrangements for handling those
- Why this team would be well placed to carry out the proposed research

The Department of Health supports the inclusion of patients and the public in all stages of the research process, including the commissioning of new research. Strong emphasis is placed on the importance of research that can demonstrate the potential impact for patients and the public as the ultimate beneficiaries of this research. Wherever possible, applications will be reviewed by lay reviewers and/or lay Commissioning Panel members, and they will need to fully understand the nature of your research to be able to comment on its suitability for funding.

Note: Should this application be short-listed and taken forward for funding, some or all of this abstract would be placed on the DH website.

*Scientific abstract of research
Provide a concise summary of the proposed research using the following ordered headings:
- Background
- Aims in relation to the issue to be addressed
- Research plan and methods of investigation
- Research team
- Potential impact/influence on the relevant policy field, users and wider stakeholders

Note: Should this application be short-listed and taken forward for funding, some or all of this summary would be placed on the DH website.

Background and rationale
Describe the nature and importance of the research question(s) to be addressed. This should include a brief literature review of previous work and relevant ongoing research. Applicants should consider what this study would add to the body of existing knowledge/evidence.

Applicants should also describe the policy relevance of the proposed research and the importance of its findings for health care, public health and/or social care.

Section: Case for Support – Part 2

*Research plan
Describe the overall research design, including strong justification for the proposed sampling strategies, methods of data collection and analysis. Refer to the objectives set out in the Aims and objectives section. In some cases, it will be appropriate to include discussion of
dissemination and implementation here. The reasoning underlying all stages of the proposed research should be transparent.

Give details of the research design including (where appropriate) descriptions of the following:
- Target population
- Justification of sample size
- Power calculation
- Inclusion and exclusion criteria
- Method of allocation
- Planned interventions and who will deliver them

The plan should be separated into distinct packages, each of which contains defined milestones.

Note: For only full applications, if a questionnaire has been prepared for use in the proposed research, you can include a copy in the Supporting Documentation section.

**Gantt chart**
Applicants should be aware that a Gantt chart is mandatory for submission for full applications and should be provided as part of the research plan. This should lay out a schedule for the completion of work packages within the research plan, indicating the timing of key milestones and deliverables.

**Section: Case for Support – Part 3**

**Projected outputs and dissemination**
Publication of scientifically robust research results is encouraged. This could include plans to submit papers to academic, professional, or service journals, publish findings in a book, or present at national and regional conferences aimed at service providers, professional bodies and professional leaders. It might also include distribution of executive summaries and newsletters.

In addition to traditional publication routes, please indicate how any findings arising from the research will be disseminated directly to audiences of policy makers, practitioners and service users. Please discuss how you intend to share the findings of this research with research participants.

Please also describe the anticipated outcomes and outputs of the proposed research and the potential impact these will have on health and/or care policy in England.

Note: All research contractors are contractually obliged to provide at least 28 days notice prior to submission of any publication arising from PRP funded work. In this instance, 'publication' includes any presentation, journal manuscript, abstract, press release, report etc. deriving from the funded research and these should all be passed to the DH (via its managing agents, the CCF) for approval before being submitted for publication. Publication of PRP-commissioned research is subject to prior consent of the Secretary of State, but will not be withheld unreasonably and cannot be withheld for more than three months from the time the publication is submitted. There is no time limit to this provision and contractors remain under obligation to provide notice even after the contract has ended.

**Expected output(s) of research and/or impact(s)**
Please describe the anticipated outcomes and outputs of the proposed research and the potential impact these will have on health and/or care policy in England.
The PRP funds research in all parts of the United Kingdom. However, those researchers based outside England must provide strong justification of how their proposed research will be of relevance to policy making in England.

*Relevant expertise and experience*

Explain how each applicant will contribute to delivering the research described in this application. For example, outline why each of the applicants are well qualified to carry out the proposed research, briefly describing the track record of the research team, including publication outputs, grant income and impact on health and/or care policy in England. Include details of any related (completed, planned or active) awards held by members of the research team in the area (or similar area) to that set out in the research specification.

Also, explain how the applicants work together (or propose to work together if they have not done so previously), and identify other major collaborations important for the research.

If the salary costs of members of the research team are not being sought via this application, you should explain how their contribution will be supported within the **Finances** section.

**Section: Management and Governance**

**Research timetable**

Describe the progression of the research plan, including key milestones. This should be completed with reference to the Gantt chart uploaded in the **Case for Support** section. Time required to gain favourable ethical opinion (if appropriate) must be included as a milestone, noting that work requiring such approval cannot receive payment until such time as notification of this approval is acquired and a copy forwarded to the PRP CCF. If work can start without ethical approval, with approval required before starting a later phase of the research, please indicate clearly where this point is.

Note: If this application were to be funded, the milestones discussed here and included in the Gantt chart will form the basis on which progress reports are assessed.

**Research management arrangements**

Explain the practical arrangements for managing the research and its constituent components. This should include specification of the roles and responsibilities of the individual team members who will undertake the proposed research, the management structure (i.e. reporting lines), financial management, steering committee involvement and frequency of meetings to permit coordination, and evaluation and dissemination of findings.

Note: This section should also highlight the role of any Advisory or Reference Groups associated with the proposed research.

**Success criteria and the barriers to proposed work**

Please set out the measurements of success you intend to use and also the key risks to delivering this research and what contingencies you will put in place to deal with them.

A risk is defined as any factor which may delay, disrupt or prevent the full achievement of a research objective. All risks should be identified. This section should include an assessment of risks, together with a rating of the risks’ likelihood and its impact on the research objective(s), using a high/medium/low classification for both. This section should also identify appropriate actions that would reduce or eliminate each risk, or its impact.

Typical areas of risk might include ethical approval, site variation in data gathering, staffing, resource constraints, technical constraints, data access and quality, timing, management and operational issues; however, please note that this is not an exhaustive list.
Success criteria will be call-specific and dependent on the nature of the research question(s) set out in the research specification. Examples could include reaching particular types of users or economic impact on a provider market.

Note: For only full applications, a concise (one page) risk assessment table can be uploaded in the Supporting Documentation section of the application, where appropriate.

**Ethical issues**
Please outline any ethical issues associated with this research and the arrangements for handling them.

**Section: Intellectual Property and Innovation**
The definition of Intellectual Property (IP) includes copyright (such as new software, checklists, scales, protocols, questionnaires, toolkits, guidelines or similar), research tools (such as data analysis techniques, assays, cell lines, biomarkers, materials or equipment and devices), designs, trademarks and patents.

The PRP needs to understand your starting IP position in order to place it in context with any IP that you may generate over the course of your research, with reference to third parties' rights which may be found during due diligence searches. This knowledge will delineate the 'rights' and who might own them.

Please complete the section on intellectual property and innovation if there will be any intellectual property generated during the course of this research and, if so, explain what mechanisms will be put in place to protect and exploit any IP.

Please contact the PRP CCF team with regards to any queries in the first instance; they will be able to advise you on the relevant contacts to approach.

**Section: Finances**
The outline application form asks for a breakdown of costs associated with undertaking the proposed research, with each type of cost (annual costs of posts, travel, subsistence and conference costs, equipment, consumables, PPI, indirect costs etc.) displaying an overall figure. The full application form requests itemisation of each of these types of costs and justification of the support requested. Completing the designated finance section is mandatory for both application forms. Finances submitted in any other format will not be considered and the application will be regarded as incomplete.

All figures should include full economic costing and input VAT, as appropriate, but should exclude any output VAT. For a detailed explanation on how to complete the finance section please see Appendix B of this document. Frequently asked questions about the finance section can be found in Appendix C.

**Section: Department of Health (DH) Monitoring Information**
Please use the drop-down menus and tick boxes to provide the information requested. This will be used by DH for accountability, audit and monitoring purposes.

**Section: Supporting Documentation**
Supplementary documentation can only be uploaded at the full application stage.

Applicants submitting a Microsoft project file are asked to submit it in 2007 version format or earlier as there is no converter tool for opening MPP 2010 files in MPP 2007. Alternatively applicants can provide their Gantt chart as a PDF file.

The following information should be submitted with your application form:
Gantt chart (Mandatory)
Applicants should be aware that a Gantt chart is mandatory for submission of full applications and should be provided as part of the research plan. This should lay out a schedule for the completion of work packages within the research plan, indicating the timing of key milestones and deliverables.

References (Mandatory)
For outline applications, a list of key references can be included in the Case for Support Part 2 section. Please note that this will impact on the word count. Alternatively, if you do not wish to include a full reference list in the Case for Support Part 2 section you can include references in text throughout the document, following the Harvard format (Author(s), Year). If you choose to follow this approach then please insert a statement explaining that a reference list will be provided if you are invited to submit a full application.

For full applications, applicants should provide a list of references cited in the application. The Vancouver format (Author(s); Title; Journal; Year; Volume: Start page - End page) should be used for references. Avoid referring to work that is not publicly accessible; where this is unavoidable, such as a key reference to a paper in press, please provide a copy.

Risk assessment
Where appropriate, a concise, one page risk assessment should be included with full applications.

Questionnaires
If a questionnaire has been prepared for use in the proposed research, you can include a copy with full applications.

Application history
If this application has previously been submitted elsewhere, you can upload a copy of the response from the relevant funding organisation and/or any pertinent reviewer comments/reports.

Other supporting documentation
No other supporting documentation is permitted. If any documentation (other than the documentation specified in this document) is submitted, it will be removed.

The total file size of the Supporting Documentation section (including references, risk assessment, questionnaires and any other supporting documentation) should not exceed 5Mb.

*Section: Declaration
Applicants are asked to declare any conflicts or potential conflicts of interest that they may have in undertaking this research, including any relevant personal, non-personal and commercial interest that could be perceived as a conflict of interest. Examples include (this list is not all encompassing), secondary employment, consultancy, financial or commercial gain (pensions, shareholdings, directorships, voting rights), honoraria, etc. In a case of commercial sector involvement with the application or the study, please state clearly the relationship to ownership of data, access to data, and membership of project oversight groups.
Section: Validation Summary
Please validate all mandatory fields requested.

Please note that your submission will not be considered complete until all applicants have approved the application and the 'Submit' button becomes visible and is used.

Section: Declarations and Signatures
Applicants are expected, before submitting applications, to have discussed their research with their own or any other body whose co-operation will be required in the conduct of the research. The Declarations and Signatures page associated with your application must be signed 1) by the Lead Applicant to confirm that the content of the application is complete and correct, and 2) by an administrative or finance officer for the contracting (host) institution to confirm that the financial details of the application are correct and that the host institution agrees to administer the award if made.

The Declaration and Signatures page should be printed, signed by the relevant authority and returned by post to the Policy Research Programme Central Commissioning Facility at the address below:

PRP CCF
Grange House
15 Church Street
Twickenham, Middlesex
TW1 3NL

This is the only part of the form needed in hard copy (as wet ink signatures are required). Please do not send completed applications by post. Applications will not be accepted unless a signed copy of the Declarations and Signatures page is received within one week of the submission deadline for a full application form.

To access the Declarations and Signatures page, please create a pdf of your application after you have submitted it. You can create a pdf of your application by logging into the system, clicking on "My Applications", selecting the relevant submitted application, then pressing view/print on the application summary page. The Declarations and Signatures page can be found at the end of the pdf.

9. Confidentiality
Research applications are considered confidential by the PRP CCF and all reasonable steps are taken to ensure that this confidentiality is not breached. Further information and guidance can be found at: http://www.ccf.nihr.ac.uk/Documents/Confidentiality%20guidance.pdf

10. Transparency Agenda
In line with the government's transparency agenda, any contract resulting from this tender may be published in its entirety to the general public. Further information on the transparency agenda is at: http://transparency.number10.gov.uk/

11. The R&D Contract
Once full applications have been considered, the PRP CCF will provide feedback to all applicants as directed by the Commissioning Panel. Successful research applications are expected to commence within six months of notification of funding. Offers of funding may be withdrawn in circumstances where projects do not commence by the time agreed in the R&D contract.
Successful applicants will be given a contract by the Department of Health. The contract will be between the Department of Health and the host institution which is the main base of the research. The contract will be managed by the PRP CCF.

The Department of Health reserves the right to negotiate the price it is prepared to pay for research based on the cost of the application and its operating constraints. The Department of Health will expect the day-to-day running of the research (including employment of staff and purchase of equipment and consumables) to be handled by the contractor through a research leader. Payment will normally be made quarterly, in arrears.

All research commissioned by the Department of Health is subject to the standard R&D contract. By submitting your application, you accept the terms and conditions of the standard contract, and are agreeing to be bound by them in the event of an offer of funding. If you wish to view a copy of the standard contract visit our website at: http://prp.dh.gov.uk/applying-for-prp-funding/

12. NIHR Faculty
If this application is successful, the individuals named in the Finances section (and who are either university or NHS employees), will become members of the National Institute for Health Research (NIHR) Faculty for as long as their salaries are supported by PRP funding. This is in recognition of their success in demonstrating that they are engaged in high quality research relevant to NHS policy concerns.

Members of NIHR Faculty are expected to advise the PRP on research issues within their expertise. This may take the form of serving on review panels or carrying out peer review. We would not normally expect members of the NIHR Faculty to conduct more than four peer reviews or serve on more than two regional advisory committees a year.

Please follow the link for further information http://www.nihr.ac.uk/faculty/Pages/default.aspx

13. Complaints
As with any funding body, decisions will be based on the Commissioning Panel’s interpretation of information provided in the application form and advice provided by peer reviewers. It may also reflect the Commissioning Panel’s judgement on the relative priority of a particular application in the event of limited resources. Any complaint that the decision has not been reached in accordance with published PRP guidance (including any FAQs) or that there was some other irregularity in the decision making process should be referred to the PRP CCF in the first instance (see contact details in guidance point 7 above).

14. Guidance on Using the Research Management System to Complete the PRP Application Form
To be able to submit an application you must complete all the relevant sections of the online form managed by the Central Commissioning Facility Research Management System (CCF RMS), accessed at http://prp.dh.gov.uk/

Please note that a list of specific questions and answers relevant to each call will be provided and updated regularly on the CCF RMS. To access this list, go to ‘Home’, then ‘New grant application’, ‘Open funding rounds’ and click on the ‘More info’ link.

- Registration
  Only registered users of the system can apply and applicants should follow the online prompts and system help guidance for specific issues.
• **Managing your details**  
The home page is your starting point to create applications or to update your details, including your professional and academic CV. Applicants and co-applicants can manage their CVs in ‘Manage My Details’. Please note your CV details are considered mandatory for submission and will automatically be included in the application.

• **Creating an application**  
The Lead Applicant must create the application, but it can be jointly completed by the Lead Applicant and any co-applicants. Co-applicants may be added to the application at any time. When a co-applicant is added, the RMS will automatically email them to invite their participation. Co-applicants can then decide whether to accept their inclusion, and later to consent to the application being submitted jointly in their name. Please note that all co-applicants must accept their invitation to participate in the application by the submission deadline in order for the application to be eligible for submission.

• **Completing an application**  
The different sections of the application form are displayed as a menu down the left-hand side of the screen. To complete the application all sections must be completed. You can move from page to page using the ‘Previous’ and ‘Next’ buttons, or using the menu on the left-hand side.

Remember to save your work. You will be prompted to do so if you leave the screen but it is always good practice to save work often in case of computer problems. You can save and return to the application form as often as you like before the submission deadline.

The system will prevent your co-applicants from accessing your application at the same time as you. This stops applicants and co-applicants inadvertently making changes to the same part of the application at the same time and overwriting each other’s work.

• **Exiting and returning to work on your form**  
Should you wish to exit the application form, you can return to it at any time; simply log in using your username and password and select ‘My Applications’ from the menu. You will then be presented with a list of all the applications you are currently involved with as well as details of their stage in the submission process.

• **Technical difficulties**  
If you encounter any technical difficulties please refer to the ‘Systems help’ document which is located at the bottom on the left hand menu in the research management system. This document sits on every page of the research management system and outlines various technical difficulties and solutions.

If the ‘System help’ document does not help you to resolve your technical difficulty then applicants are asked to follow the procedure below:

- Take a screen shot of the problem. This can be done by pressing the ‘Print Screen’ button on your keyboard and then pasting the content either in a word document or directly into an email.
- Immediately email the CCF (using the contact details in guidance point 7 above) ensuring to include both the print screen image and a detailed description of the technical issue.
- The PRP CCF will respond to your email as soon as possible. Please continue working on your application if possible.

*Technical Faults*

- The PRP CCF will provide as much help to applicants as possible, but are not held responsible for applicants missing the deadline, unless there is a technical fault with the RMS.
o If applicants genuinely believe that there is a technical fault with the RMS, which has led to them missing a submission deadline, they should provide a detailed description of the problems encountered and we will then initiate a formal review to determine whether the RMS was at fault. We are able to look at a key stroke system audit to investigate further. This is a detailed log of all activities carried out on an application. We will then communicate the outcome of this review to the applicant.

- **Submission and beyond**
  When the application form is complete it must be ‘validated’ prior to submission. This will highlight any omissions in the form, and provide you with the opportunity to correct them. It will also highlight where you have exceeded any word counts. After successful validation the Lead Applicant may submit the application.

  The Lead Applicant can preview the progress of their application at any time by selecting the ‘View/Print’ option to generate the application as a PDF file.

- **On completion of validation**
  Upon submission, the application automatically enters the process of being considered for funding, which begins after the commissioning round closes.

15. **Appendices**

A. Patient and Public Involvement in Research: Further Information
B. Application Finances: Further Information on How to Complete the Finance Section
C. Application Finances: Frequently Asked Questions on the Finance Section
Patient and Public Involvement in Research: Further Information

INVOLVE (www.invo.org.uk) is a national advisory group funded by the National Institute for Health Research, which aims to support active public involvement in NHS, public health and social care research.

Definition of patient and public involvement in research

INVOLVE use the term ‘members of the public’ to include:
- patients and potential patients
- people who use health and social care services
- informal (unpaid) carers
- parents/guardians
- disabled people
- members of the public who are potential recipients of health promotion programmes, public health programmes, and social service interventions
- groups asking for research because they believe they have been exposed to potentially harmful substances or products (e.g. pesticides or asbestos)
- organisations that represent people who use services

The term 'involvement' refers to an active partnership between patients and the public and researchers in the research process, rather than the use of people as 'subjects' of research. Patient and public involvement in research is often defined as doing research 'with' or 'by' people who use services rather than 'to', ‘about’ or ‘for’ them.

Ways that members of the public can be involved in research

(i) Consultation
Consultation usually involves asking members of the public for their views about research, and then using those views to inform decision-making. This consultation can be about any aspect of the research process - from identifying topics for research, through to thinking about the implications of the research findings.

(ii) Collaboration
Collaboration involves active, on-going partnership with members of the public in the research process. For example, members of the public might take part in an advisory group for a research project, or collaborate with researchers to design, undertake and/or disseminate the results of a research project.

(iii) User controlled research/user led research
There are different ways of referring to and defining research conducted or controlled by service users, and some people use the terms ‘user-led’ and ‘user-controlled’ research interchangeably. Turner and Beresford, in their report ‘User-controlled research: its meaning and potential’ published by INVOLVE in 2005, suggest that control by service users is the key defining characteristic of user-controlled research, but that making change happen is commonly identified as its central purpose.
Further information and resources

INVOLVE has a range of resources which are free and can be accessed and downloaded from their website at www.invo.org.uk. They include electronic databases and publications providing information on active involvement in research as well as research on patient and public in involvement in research:

Electronic databases:
- 'Putting it into practice' - an electronic library for people who are planning or developing public involvement in research activities
- A research project database which has over 200 examples of patient and public involvement in current and completed research
  http://www.invo.org.uk/resource-centre/research-project-database/
- The 'Evidence library' is a database of over 150 abstracts of reports and articles on research into public involvement in research. It includes references that cover the nature, extent and impact as well as reflections on public involvement in research
  http://www.invo.org.uk/resource-centre/evidence-library/

Key publications:
- INVOLVE Briefing notes for researchers
  http://www.invo.org.uk/resource-centre/resource-for-researchers/
- Public involvement in research grant applications: guidelines for researchers (2006)
  http://www.invo.org.uk/posttypepublication/public-involvement-in-research-grant-applications/
- Payment for involvement: A guide for making payments to members of the public actively involved in NHS, public health and social care research (2010)
- Exploring Impact: Public involvement in NHS, public health and social care research (Staley K, 2010)
- Turning the pyramid upside down: Examples of public involvement in social care research (Staley K, 2010)
- Changing our worlds: Examples of user-controlled research in action (Faulkner A, 2010)
  http://www.invo.org.uk/posttypepublication/turning-it-a-bit-more-vol-2/

To contact INVOLVE:

INVOLVE Coordinating Centre
Wessex House
Upper Market Street
Eastleigh
Hampshire SO50 9FD

Tel: 02380 651088
Textphone: 02380 626239
Email: admin@invo.org.uk
Website www.invo.org.uk
APPENDIX B

Application Finances: Further Information on How to Complete the Finance Section

Please note that only a brief overview of costings is required for an outline application. However, for a full application a detailed breakdown of all the costs associated with the research in required. Comprehensive information, about the types of eligible costs, is available below and we strongly recommend that you familiarise yourself with these costs at this time.

GENERAL INFORMATION

- The information entered in this section should provide an analysis of the total funds requested to undertake the research proposed and should be based on current prices. These costs will be used to assess value for money.
- It is in your best interest to undertake a thorough, realistic and accurate costing. Where an outline application has been short-listed and a full application is considered by the Commissioning Panel, the Panel will pay close attention to any material increase in costs. You must provide a clear and full justification for all costs. This should include any NHS (support, treatment and excess treatment) costs that are applicable. You must also ensure that you include all costs, including those required to secure good research management.
- Costs must be provided at current prices. Please do not include inflation in your costs. An adjustment for inflation will be made annually thereafter at rates set by the Department of Health. Whilst allowances for incremental increases should be included on the form, nationally or locally agreed pay increases should be excluded.
- Years should be calculated starting from the anticipated start date of the proposed research. For example, if a project starts on 03 June 2020 then its second year starts 03 June 2021.
- Further itemisation of costs and methods of calculation may be requested at a later date to support your application.
- Payments will be made to the contracted organisation only and the contracted organisation will be responsible for passing on any money due to their partner organisation(s). Appropriate sub-contracts must be put in place for any element of the research which is to be paid to another organisation.
- NHS support costs are funded via Clinical Research Networks. Researchers should contact their local NHS R&D Department initially and, if they are unable to help directly or if there is no local NHS R&D Department, contact the local Comprehensive Local Research Network (CLRN) Senior Manager. Further details about CLRN contacts are available at http://www.crncc.nihr.ac.uk/homepage
- Where relevant, all applications are expected to have appropriate Higher Education Institution (HEI), commercial, NHS and other partner organisation input into the finance section of the application form.

INFORMATION ON DIFFERENT TYPES OF ORGANISATIONS

Higher Education Institutions (HEIs)
Higher Education Institutions (HEIs) should determine the Full Economic Cost (FEC) of their research using the Transparent Approach to Costing (TRAC) methodology. For HEIs, up to 100% of FEC will be paid, provided that TRAC methodology has been used.
NHS Bodies and Other Providers of NHS Services in England
For applications where the contractor is an NHS body or provider of NHS services in England, up to 100% of direct costs will be paid. Where an NHS body or provider of NHS services in England is collaborating with another type of organisation, the leader must be the NHS partner which will be the contracting organisation.

Commercial Organisations
For commercial organisations, please fill in direct costs and commercial indirect costs. Indirect costs should be charged in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of costs will be paid.

Other Partner Organisations
For other partner organisations (e.g. charity or NGO), please fill in direct costs and other partner organisations indirect costs. Indirect costs should be charged in proportion to the amount of research staff effort requested on the funding application form. Up to 100% of costs will be paid.

DIRECT COSTS
These are costs that are specific to the research, which will be charged as the amount actually spent and can be supported by an audit record. They should comprise:

- **Details of posts and salaries.** Salaries should be listed at 100%. This section presents an overview of salary costs for all the applicant(s) contributing to the research, including normal salary increments broken down individually. Please list all members of staff working on the research. You should outline staff numbers and grades, as well as timescales. If there are any applicant(s) whose costs are not being claimed you will need to state the applicant’s name, and explain briefly why costs are not being claimed and what resources are being used to cover their contribution.

- **Annual costs of posts.** This section specifies the annual costs of each applicant contributing to the research. You should now allocate the individual staff member costs to each year of the research, allowing for increments. Use current rates of pay, and build in any known annual increments (again at current rates). You will not be able to claim for increments retrospectively, once your research is underway.

Please note the ‘% full time on this research’ and the ‘Year’ columns are independent of each other and the % figure is not used to calculate the net staff costs.

For the ‘Year’ columns, enter the cost of the individual to the research. **For example:**

- If an individual’s total annual salary costs are £20,000 and they are expected to work 50% of the time on the research, in the ‘% full-time on this research’ column enter 50, then £10,000 in ‘Year 1’, £10,000 plus any increment in ‘Year 2’, £10,000 plus any increments in ‘Year 3’, etc. Annual salary costs may be composite figures including part year incremental increases in salary.
- If an individual is going to work full-time on the research, which lasts 4 years, but only for the last 6 months, you would enter 100 in the ‘% full-time on this research’ column and 6 in ‘total months on this research’ column, and the cost of their work in the ‘Year 4’ column.
- If the research lasts for several months and an individual’s involvement varies over the course, it may be easier to make a separate line entry each time it changes.

It is important to double check that the %, total months and yearly costs information are consistent with the information presented in ‘Details of Posts and Salaries’ (‘Details of
Posts and Salaries’ should show the full current staff costs independent of % FTE etc, whereas the yearly costs in ‘Annual Costs of Posts’ depend on % FTE etc).

Please note that this section also includes ‘Shared Staff Costs’ which may be located under directly allocated costs in some other funders’ applications. These are the costs of an institution’s research resources which can be charged to the research on the basis of estimated use, rather than actual costs. These may include: IT technicians, laboratory staff, and costs of pooled staff efforts. HEI indirect costs cannot be claimed on these shared staff costs.

- **Travel, subsistence and conference fees.** This section includes journey costs, subsistence and conference fees. Where applicable, you will need to include the travel and subsistence costs of your Research Advisory Group, Steering Committee and/or Data Monitoring & Ethics Committee. Travel and subsistence costs relating to dissemination should also be included here, as should costs relating to overseas travel.

  **Journey Costs**
  Enter the total cost of transport for all journeys for destination/purpose. If travel is by car, apply your institution’s mileage rates (however this should not exceed HMRC approved mileage allowance payments, which is 45p per mile for the first 10,000 miles and 25p thereafter).

  Travel by the most economic means possible is encouraged. The Policy Research Programme does not usually fund first class travel.

  **Subsistence**
  Subsistence covers accommodation (if necessary) and meals associated with the travel, excluding any alcoholic beverages.

  **Conference Fees**
  Where national or international conference fees are included, a statement naming the conference or purpose of travel and the benefit to the research must also be made; failure to adequately justify your attendance at a conference will mean that the PRP will not fund this cost.

  For research of up to five years, the PRP will usually fund up to a maximum of two international conference attendances. For research beyond five years, the PRP will usually fund up to a maximum of two international conference attendances per five year or part of five year research period.

- **Equipment.** Essential items of equipment plus maintenance and related costs not included as part of estates should be inputted in this section. These can be lease or purchase costs. The purchase cost of pieces of equipment, valued up to £5,000 excluding VAT, will be considered.

  Pieces of equipment costing over £5,000 will usually need to be leased. Where applicants are leasing equipment with a purchase price of more than £5,000, a comparison of leasing verses purchasing costs must be provided in the ‘Justification of Costs’ section.

  Items of equipment valued at £250 or more must be itemised separately; however grouping same type equipment is permitted. Costs of computers are normally restricted to a maximum of £650 each, excluding VAT, and a statement of justification must be included, in the relevant ‘Justification of Costs’ section for any purchase above this limit.
Equipment must exclude VAT, but if your organisation is unable to reclaim/recover the VAT on a piece of equipment, you should tick ‘Tick if VAT cannot be reclaimed/VAT relief to be applied’. You will need to seek expert advice from the organisation purchasing the equipment regarding its VAT status. If you check the ‘VAT cannot be reclaimed’ column, VAT at 20% will be calculated into the overall cost of that item.

- **Consumables.** This section includes non-reusable items specific to the research. Please itemise and describe the requirements fully (e.g. postage, stationery, photocopying). These items should be research specific, not just general office costs which should be covered by indirect costs.

- **Patient and Public Involvement.** Please itemise and describe fully the costs associated with Patient and Public Involvement. These are likely to include out of pocket expenses, payment for time and any relevant training and support costs. **Guidance for making payments to members of the public actively involved in NHS, public health and social care research (2010) can be found at the following addresses:**
  
  http://www.invo.org.uk/posttypepublication/payment-for-involvement/
  
  
  http://www.invo.org.uk/payment-for-involvement/

- **Other Direct Costs.** These are costs, not identified elsewhere, that are specifically attributed to the research. For example, external consultancy costs, specialist publications, open access publications, computer licensing, recruitment and advertising costs, and training specifically for (and that can be traced to) the research team. Please note that for organisations claiming indirect costs, costs such as recruitment of staff, and general training (e.g. in common IT packages) are costs that should be covered by indirect costs and should not appear in this section.

  Any costs associated with publication, presentation or dissemination of findings (except related travel and subsistence or consumables costs) should be itemised and included here. Any large costs should be further detailed with a breakdown of constituent parts or a timescale profile of the costs. Meetings to share best practice, training events and events to disseminate research findings must be run at the lowest possible cost with minimal catering. ‘Conferences’ which are described as such are not eligible for funding.

  If external consultancy costs are included in this section they must be fully justified in the ‘Justification of Costs’ section. Please specify the hourly rate and the number of hours and note that consultants must not be people who are already employed by the applicant’s institution. If they are, any costs should be entered as direct costs in the ‘Details of Posts and Salaries’ and ‘Annual Costs of Posts’ sections.

- **Patent and Legal.** The Programme will consider supporting reasonable costs requested to protect any Intellectual Property which arises from the research project. Any costs will be supported during the period of the research only. Supported costs include, but are not limited to, legal advice, patent and Freedom to Operate searches, patent submission costs and third-party licensing fees. DH will not support any costs incurred prior to or following the research project, including patent maintenance costs. All requests should be fully itemised and justified.

- **Sub-Contracts.** A sub-contract is regarded as an external specialist service which cannot be provided by the organisation leading the project or its collaborators. Services include consultancy, design services, or the development and provision of specialist equipment. These costs can be requested for organisations providing these services outside of England, but suitable justification is required.
INDIRECT COSTS

Please complete the indirect costs section that best applies to your organisation using the following guidance to assist you.

HEI Indirect Costs
Total HEI indirect costs must be fully justified. HEIs are permitted to claim estate and other indirect costs. These costs are calculated on the basis of TRAC methodology. Applications from other types of institutions/organisations should leave this section blank.

HEI indirect costs are based on the number of full-time equivalent research staff working on the research and the indirect/estates charges set by an institution. Please note HEI indirect costs cannot be claimed on shared staff costs. Where staff from more than one HEI are working on the research there may be different indirect/estates charges for each one. Please list each of these on a separate line.

The applicant(s) should consult their HEI finance departments for the appropriate figures to include in the estate charges and other indirect cost sections.

Commercial/Other Partner Organisation Indirect Costs
Commercial/Other partner organisations can claim indirect costs which are the costs of resources used by the research that are shared by other activities. Indirect costs will be charged in proportion to the amount of research staff effort requested on the award.

Commercial/other partner organisations should calculate them using their own cost rates. Please seek advice from your finance department about the appropriate cost for this section. Total commercial/other partner organisation indirect costs must be fully justified.

Indirect costs may comprise:

- General office and basic laboratory consumables
- Premises costs
- Library services/learning resources
- Typing/secretarial
- Finance, personnel, public relations and departmental services
- Usage costs of major research facilities
- Central and distributed computing
- Charge out rates for shared equipment
- Cost of capital employed

NHS Support and Treatment Costs (incl. Excess Treatment Costs/ Savings)
This section asks researchers to provide an estimate of the patient care costs associated with the research (if applicable). An explanation of why these costs are being incurred and the basis on which the estimations have been made should be fully detailed under the relevant ‘Justification of Costs’ section.

The PRP Commissioning Panel will take NHS Support and Treatment Costs into account when considering the value for money of a research application. It is important that you consider these costs and discuss them with the NHS bodies or providers of NHS services involved in order to avoid any delay in commencing the research.

Please be aware that any research award will NOT include NHS Support Costs or NHS Treatment Costs. For the PRP, the Department of Health (as research funder) pays the costs of the research itself. The NHS pays any associated patient care costs (i.e. NHS
Support and Treatment Costs. NHS Support Costs will be paid via the Comprehensive Research Networks. NHS Treatment Costs, including any Excess Treatment Costs/Savings, will be met through normal patient care commissioning arrangements.

A representative of the NHS body or provider of NHS services - incurring any NHS Support and Treatment Costs - must sign off the application. The ‘Declarations and Signatures’ page is intended to ensure that the aforementioned organisation is satisfied that all NHS Support and Treatment Costs in the application are correct and is prepared to meet these costs.

**NHS Support Costs**
These are the additional patient care costs associated with the research, which would end once the R&D activity in question has stopped, even if the patient care service involved continues to be provided. These might cover items such as extra patient tests, extra in-patient days and extra nursing attention. Researchers should contact their local NHS R&D Department initially and, if they are unable to help directly or if there is no local NHS R&D Department, contact the local Comprehensive Local Research Network (CLRN) Senior Manager for advice on NHS Support Costs. Further details about CLRN contacts are available at [http://www.crnci.nihr.ac.uk/about_us](http://www.crnci.nihr.ac.uk/about_us)

**NHS Treatment Costs**
These are the patient care costs that would continue to be incurred if the patient care service in question continued to be provided after the R&D activity has stopped. In determining NHS Treatment costs you **must** assume that the patient care service being assessed will continue even though there may be no plans for it to do so. Where patient care is being provided which differs from the normal, standard, treatment for that condition (either an experimental treatment or a service in a different location from where it would normally be given), the difference between the total Treatment Costs and the costs of the “usual standard care” (if any) constitutes Excess Treatment Cost/Saving, but is nonetheless part of the Treatment Cost, not an NHS Support or Research Cost. These costs should be determined in conjunction with your NHS body or provider of NHS services and their commissioners.

Please note if the patient care intervention under investigation is in addition to usual care there is no need to complete the ‘Usual Treatment Costs’ section however this will need to be justified in the relevant ‘Justification of Costs’ section. If the patient care intervention under investigation either wholly or partially replaces usual care, the ‘Usual Treatment Costs’ section must be completed.

For further information, please see:
- Attributing the costs of health and social care Research & Development (AcoRD)
- HSG(97)32: Responsibilities for meeting patient care costs associated with research and development in the NHS
JUSTIFICATION OF COSTS
One of the assessment criteria for PRP funding is clear justification for resources requested and evident value for money for the Department of Health.

This section is comprised of three questions:

1) Please explain how the research costs requested have been calculated and justify how they have been allocated.
In this section you should provide a breakdown of research costs, in as much detail as possible, associated with undertaking the research and provide justification for the resources requested.

Briefly explain why the following costs are necessary for the research and why these are attributable to research in accordance with AcoRD:
- staff costs,
- travel, subsistence and conference fees
- equipment (including lease versus purchase costs),
- consumables,
- patient and public involvement
- any other direct costs

NOTE: Also set out any instances of where you have absorbed costs into your institution.

2) Please explain how the NHS Support and Treatment costs requested have been calculated and justify how they have been allocated.
You should provide a breakdown, in as much detail as possible, of the NHS Support or Excess Treatment costs associated with undertaking the research and provide justification for the resources required.

If there are no NHS Support and/or Excess Treatment costs associated with the research you must explain why you think this is the case and you must relate your justification back to AcoRD.

3) Please explain how the research provides value for money.
You should describe how this research provides value for money taking into account the total cost of the research, including the NHS costs.

NOTE: Consider how this research will potentially benefit the Department of Health. For example, where appropriate, describe any likely cost savings. Some applications may include a full cost benefit analysis as part of their design; for others, a broad indication of likely benefits is all that is required.

SUMMARY OF COSTS
- The Policy Research Programme currently funds HEIs at up to a maximum of 100% of full economic cost, NHS bodies and other providers of NHS services at up to a maximum of 100% and commercial/other partner organisations at up to a maximum of 100%.
- If your organisation is claiming less than the maximum percentage allowed, for full applications please enter the percentage you wish to claim in the appropriate column and for outline applications please state the percentage you wish to claim when explaining how the research provides value for money.
- Please note that whilst these percentages will be used to calculate the maximum amount payable, the programme reserves the right to award an amount less than this maximum where appropriate.
APPENDIX C

Application Finances: Frequently Asked Questions on the Finance Section

All questions and answers are relevant to all programmes within NETSCC, CCF and TCC unless stated otherwise.

DIRECT COSTS

1. What are the Direct Costs?
   These are costs that are specific to the research, which will be charged as the amount actually spent and can be supported by an audit record. Direct costs may include the following:
   - salaries
   - travel, subsistence & conference fees
   - equipment
   - consumables
   - patient and public involvement
   - other costs (such as consultancy, study specific training, computer licensing, open access publishing, etc.)

2. How accurate do you expect my costs to be?
   Applicants should note that it is in their interests to undertake a thorough, realistic and accurate costing of their application. All Programmes expect that the costs identified should not differ between application stage(s). Any differences must be clearly explained and fully justified. The Committee / Panel will scrutinise any increases.

Staff Costs

3. Can I include all applicants’ costs’?
   Programmes fully support the principle of full economic costing (unless stated otherwise in the programme guidance), and award research funds on this basis to research based in Higher Education Institutions (HEIs). Under the terms of this, all applicants are allowed to charge for the proportion of their time that will be spent working on any funded application. However applicants should be aware that although all Programmes fund on the basis of the scientific merit of the research, applications are also assessed on value for money. The total cost of any application should therefore be carefully considered.

4. I am one of the applicants on a research study and am employed full time by a University/NHS Trust. Can my salary be included in the costings?
   Yes, we will reimburse your employer for the proportion of your salary relating to the time you will spend working on the Programme research activity.

5. Can a PhD student be included as part of the costings?
   NIHR/DH only funds PhD studentships through its training programmes. NIHR’s main training opportunities can be accessed at [http://www.nihrtcc.nhs.uk](http://www.nihrtcc.nhs.uk)

   It is possible, however, for a researcher employed on an NIHR/DH award to register for a PhD based on the funded research, though NIHR/DH will not reimburse student fees.

6. How is yearly salary calculated?
   The amount per year is calculated by multiplying the gross annual salary by the % of time spent on the research per year. This needs to be done by your finance department (as it

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is not an automatic calculation) for each year that the person is working on the research. If the person is spending different percentages of time on the research in each year, then list this person with the relevant percentages on separate lines and explain this in the justification of costs section.

7. Can we include local or national discretionary payments that proposed co-applicants or collaborators are in receipt of (e.g. Silver/Gold/Platinum merit awards for applicants with NHS contracts, 'market force’ supplements over and above standard spine scales for University employees) etc. in salary costings? If the co-applicants or collaborators are already in receipt of these awards/supplements then yes they can be included in the costings. If they are only anticipated then they should not be included. Please note however that only those payments which the employing institution itself is required to fund should be included, not any for which separate national funding is made available.

8. We are an HEI but will be funding clinical time/research nurses. How will this time be funded? If the clinical time/research nurses are employed by the NHS and are not subject to indirect costs then we will pay 100% of costs, but we will not fund any indirect costs for these employees.

Travel, Subsistence and Conference Costs and Fees

9. What sort of travel costs can I include as part of research costs? Where applicable you will need to include the travel and subsistence of your Research Advisory Group, Steering Committee, Data Monitoring & Ethics Committee; researchers’ travel and patients’ travel.

Patient travel and subsistence that relate to the delivery of treatment should be classified as a NHS Treatment Cost.

10. Do you fund travel by first class? We do not fund first class travel. The most economic method of transport should be used when calculating travel costs.

Equipment

11. What do I do if a piece of equipment costs more than £5,000 to purchase but the leasing costs are greater than the purchase price? NIHR/DH is unable to fund pieces of equipment costing more than £5,000 which will be purchased and owned by an NHS organisation. Pieces of equipment costing more than £5,000 to purchase will usually need to be leased. Where applicants are leasing equipment with a purchase price of more than £5,000 a comparison of leasing versus purchasing costs must be provided.

12. What costs can we include for computers, IT support and software? Costs for computers/laptops up to £650 excluding VAT can be costed in the application. Printers and specialist software should be shown separately. For HEIs common office software and standard IT support and training should be covered by indirect costs. However, software and IT support and training that is specific to the research can be costed for separately in the application form under the equipment section in direct costs.
13. Should I account for VAT on equipment?  
Equipment must exclude VAT but if your organisation cannot recover VAT on a piece of equipment then the VAT can be reclaimed on the application form. Please consult your finance team about whether or not VAT can be re-claimed.

Consumables

14. Can consumables be included as part of research costs?  
Only research specific items, and not general office costs, can be claimed for HEIs. General consumables should be covered by an institution’s indirect costs.

15. Can I include stationery and phone costs in the application costs?  
We will cover the estimated cost of phone calls to participants if significant (e.g. for telephone surveys), and paper and printing of questionnaires and trial publicity material or information for participants, but for HEIs we will not cover general office costs as these should be covered by indirect costs.

Other Costs

16. Can we include training costs?  
Whilst training which is specific to the research should be costed in the application, for HEIs more general training such as use of common IT packages should be funded through the indirect costs element of the award so should not be included in the costing. Please note that if the training is in connection with delivering the intervention under consideration then it may be a treatment cost or NHS support cost, please see: http://www.dh.gov.uk/health/2012/05/attributing-the-costs-of-health-social-care-research-development-acord/. Applicants to NIHR TCC Fellowships and Personal awards must include costs and justification for a training package tailored to the needs of the individual and the research.

17. Can we include costs for NHS consultants?  
The allocation of NHS clinical consultants’ time and costs can be quite complicated. The first step is to identify whether it is an NHS Support Cost, an NHS Treatment Cost or a research cost. If their role is to do with patient care it may be an NHS support or treatment cost. Guidance on how to attribute costs is provided by DH at http://www.dh.gov.uk/health/2012/05/attributing-the-costs-of-health-social-care-research-development-acord/

18. Can we include payments to Project Advisory Groups, Steering Committee and Data Monitoring Ethics Committee members?  
We would usually pay reasonable travel costs; however, we do not pay consultancy costs or reimburse their time unless they are a public contributor.

19. Will you pay a sponsorship fee to a Trust?  
We will pay MHRA, CTA annual renewal fees and Trial registration fees as research costs. We will not fund other types of sponsorship fees. However, if specific costs of sponsoring a specific piece of research can be identified then we will consider them along with all the other research costs.

INDIRECT COST AND ESTATE CHARGES

Higher Education Institutions (HEIs) use the TRansparent Approach to Costing (TRAC) methodology to calculate Full Economic Cost (FEC) of applications, which accounts for indirect costs and overheads. Not all NIHR/DH programmes pay FEC and applicants are advised to refer to specific programme guidance.
20. Can overheads or indirect costs be included for NHS bodies?
NIHR/DH does not fund NHS overheads through its research awards. NHS organisations in receipt of Research Capability Funding may use this funding to help meet overheads/indirect costs.

Commercial/Other Partner Organisations can claim indirect costs which are the costs of resources used by the research that are shared by other activities. Please seek advice from your finance department about the appropriate cost for this section. Total Commercial/Other Partner Organisation indirect costs must be fully justified.

For further information on Research Capability Funding please see http://www.nihr.ac.uk/infrastructure/Pages/research_capability_funding.aspx

21. The host institution is an NHS Trust but we have some HEI staff on the team. Can we include indirect costs for these people?
Yes, indirect costs can be paid for HEI staff, at their institution’s rate and we will fund their direct and indirect costs at the agreed FEC rate.

22. What do non-NHS indirect costs cover?
Broadly speaking non-NHS indirect costs cover the costs of running the organisation. This includes all centrally provided services such as payroll, finance, security, IT support etc. as well as normal office costs such as widely used office software (although not trial specific software), consumables, stationery and phone calls (although not those items directly arising from the research such as patient information literature and telephone surveys), general IT training (not training specifically related to the intervention under consideration), staff recruitment costs, parental leave and sick leave costs. This is not an exhaustive list and we are happy to answer queries on specific items.

GENERAL QUESTIONS

23. What is the difference between HEI and non-HEI costs?
HEI costs are Higher Education Institution costs – those costs which arise at and are paid by the University. FEC will be applied to these costs at the appropriate rate.

24. Can research funds be used to recruit a foreign national (based overseas) including international travel expenses and working visa?
Subject to the research organisation meeting all limits set out in the contract, and providing a clear justification as to why the research could not be conducted by a UK national, the research organisation is free to administer the funds within the terms of the contract.

If there are UK indirect costs associated with this person we would pay at the appropriate rate for the Programme.

25. I work at an HEI but have consultancy charges from a charity. Are these a non-HEI cost?
Yes, because they do not originate at the university.

26. We are including a private clinic in our research. How do we include the costs for this?
Please include the costs the clinic has quoted under ‘Other Direct Costs’ and supply any documentary evidence of this.
27. Some of the research is going to be completed abroad how should we include these costs?
Where applicants are seeking to include overseas costs in their application such costs will need to be stated in GB £. Where this involves converting local currency into £, applicants should use the following website (http://uk.reuters.com/business/currencies) and state what rate they have used and the date of the conversion rate.

28. Some of our research activities are taking place in one or more of the Devolved Nations as well as England. How should we include these costs in our application?
Each of the Devolved Nations provides its own guidance on how to attribute and access NHS Support, Treatment and Research costs. Costs should be included in the application in accordance with this guidance, the guidance can be found at: Scotland – http://www.cso.scot.nhs.uk/SuppScience/AcoRD%20-%20Guidance%20Scotland.pdf

29. What are my obligations as a host institution?
The Host Institution has full responsibility for the award, for all funded activities, and for adherence by the Chief Investigator and the Team to the Conditions of the award. The Host Institution must ensure compliance (where applicable) to specific guidance that exists for the conduct of the research (including clinical trials) and be fully compliant with Data Protection requirements, human rights, The Medicines for Human Use (Clinical Trials) Regulations and secure filing. For more details on these responsibilities refer to the Department of Health (DH) guidance “Research Governance Framework for Health and Social Care: Second edition”.

30. What steps should an NHS host institution take before the research begins?
The NHS Host Institution MUST ensure that research will be conducted in accordance with the Department of Health (DH) guidance “Research Governance Framework for Health and Social Care: Second edition” and, if relevant, in accordance with the DH guidance "Governance Arrangements for NHS Research Ethics Committees" or such other guidelines as may be issued from time to time by the DH. All research applicants must ensure that before any research involving human participants, their organs, tissue or data commences:

- there are adequate arrangements and resources to meet the standards set out in the Research Governance Framework
- the study has received favourable ethical opinion
- there is a Clinical Trial Authorisation (CTA) for the clinical trial of any medicine
- the allocation of responsibilities is agreed and documented
- appropriate contractual arrangements are in place including subcontracting arrangements
- agreements are in place with the Trust(s) and/or Clinical Research Networks to fund NHS Treatment and Support costs, respectively, if required by the research.

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3 http://www.mhra.gov.uk/Howweregulate/Medicines/Licensingofmedicines/Clinicaltrials/UKclinicaltrialauthorisationassessmentperformance/index.htm
31. How will my application be assessed?
Each programme provides specific guidance on eligibility and how applications will be assessed by their Committee/Panel that can be accessed from individual programmes.

32. Where can I get help to write my application?
Applicants can get help from the Research Design Services (RDS) whose role is to support researchers to develop and design high quality research applications for submission to NIHR and other national, peer-reviewed funding competitions for applied health or social care research. Contacts for regional RDSs can be found via this link: http://www.ccf.nihr.ac.uk/Pages/RDSMap.aspx

33. An ideal candidate has been found to fill a post but his/her salary is higher than the amount costed for in our application. Will NIHR/DH supplement the award to cover this cost?
Only in exceptional cases at the pre-contracting stage will this be considered (note that the request for additional funds must not take the research over the funding limit). Once an award has been finalised and the contract has been signed by all parties, the NIHR/DH will not meet any additional costs if the cost of an appointment is different from the amount awarded for this post.

34. How much inflation uplift should be added to the research budget?
All costs must be provided at current prices, with no inflation included. An adjustment for inflation may be applied annually by the managing agent thereafter at rates set by the DH.

35. I have worked out the research costs for my application but have not included NHS Treatment and Support Costs. Will my application still be considered?
Applications that have failed to include either NHS Treatment or Support Costs, or a valid explanation for their omission will be questioned and a request to amend the finances may be made.

Applicants are reminded that Committee/Panel members make funding recommendations to the DH based on both scientific quality and value for money and the latter cannot be adequately assessed without all costs being included.

Where NHS Treatment and Support Costs are included in your application the research programme advises that the Chief Investigator engages with the NHS Trusts and NIHR Clinical Research Networks involved to ensure that these organisations are aware of the research and the finances that may be incurred.

36. We think there may be a possibility of getting additional funding from elsewhere. How should we reflect this in the application form?
Usually applicants should apply for the whole sum but they should also mention in their research description that there is the possibility of the other organisation funding £x. This allows the Panel/Committee to consider the ramifications of such joint funding as well as take it into account when looking at the amount being asked to fund. You will need to give details about the terms of the agreement (including commercial terms) with the other Party.

Please speak with the programme / finance team for further advice and explanation.