



Document Title: Financial Procedures for R&D Funding

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Staff involved in development: <i>Job titles only</i>	Senior R&D Manager, R&D Operational Manager, Clinical Project Managers
Document author/owner:	Senior R&D Manager
Directorate:	Research and Development
Department:	Research and Development
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Summary of Amendments

Version:	Modification:
6.0	Changes throughout the document to reflect changes in processes, plus an additional section to outline how RCF Funding is managed.
5.0	Minor administrative changes only.

Key related documents:	Trust Research Policy SOP024: Contract Negotiation and Review SOP 066: Subcontracting of Research Activities SOP092: Management of Research Accounts DN137 Schedule of Decisions Reserved for The Board of Directors & Scheme of Delegation
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Key Points of this Document

- This document sets out the procedures to be followed by all Royal Papworth Staff who are involved in the preparation of contracts, grants and funding bids for research studies.
- It provides guidance on how financial data are collected, documented and stored to ensure compliance with the Trust's policies.

1 Purpose and Content

- a. This document defines the Trust's procedures for the management of finances for research related funding at Royal Papworth Hospital.
- b. The document describes the requirements for ensuring accurate and thorough financial management to ensure a research study is appropriately resourced and research / grant / research capability funding is managed in accordance with the necessary contracts, guidance and regulations.
- c. This document provides guidance on how financial data should be collected and stored so as to comply with the Trust's policies on Information Governance and Fraud.
- d. The preparation and negotiation of contracts is outside the scope of this SOP and is described in SOP024: Contract Negotiation and Review, the subcontracting of research activities is described in SOP066: Subcontracting of Research Activities, and the management of research accounts is described in SOP092: Management of Research Accounts.

2 Roles & Responsibilities

- a. This Policy applies to all personnel that are conducting research at the Trust.
- b. Staff involved in preparing grant applications, contracts, reviewing Clinical Trial Agreements (CTAs) or who are signatories on Trust Research Accounts must comply with the requirements set out in section 4.
- c. The financial management of all studies is the responsibility of the Investigator, the R&D Manager and the Finance Department. The R&D Manager is responsible for oversight of



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the research accounts and the account signatories are responsible for managing the individual research accounts.

- d. The Investigator, or their designated trial team member, is responsible for the timely and accurate submission of expenses and costs incurred on behalf of research to the appropriate research account.

3 Policy

- a. This SOP is mandatory and, as per the Trust's Information Governance and Records Management framework, non-compliance with may result in disciplinary procedures.
- b. All studies must be adequately costed as per SOP024.

4 Procedure

4.1 Research Finance Management

- a. All financial contracts related to Research, including clinical trial agreements (CTAs), grant applications or educational grants must have the finance details checked by the R&D Department in liaison with the lead investigator and with the assistance, when required, of the Research and Development Directorate (RDD) Finance representative and the Trust Secretary.
- b. Financial contracts will be signed as per DN137 Schedule of Decisions Reserved for The Board of Directors & Scheme of Delegation.
- c. All research monies connected with the Trust are held within research accounts and will be managed by the R&D Department and the Principal Investigator. The set up and closure of these accounts will be managed by R&D in conjunction with the Principal Investigator and Finance and will be managed in accordance with SOP092: Research Account Management.
- d. A new research account number may be requested from the Research Finance Manager if required.
- e. All commercial and non-commercial research income, which is not a documented charitable donation, will be managed in designated research accounts.
- f. R&D will monitor research account income and expenditure (I&E) in accordance with the Trust's agreed financial procedures and will highlight any variance from expenditure in time for adjustments to be made before the end of the project.



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- g. In order for invoices to be raised in a timely and accurate manner, it is important that Principal Investigators or their research staff notify R&D when the payment 'triggers' detailed in the CTA are reached. When the study is complete, any surplus funds may be transferred into a generic Trust account by the Trust's Finance department, following discussion with the R&D department and the study Investigator.
- h. Grant funding will be managed by the studies Project Manager who will ensure all income is appropriately managed in accordance with the contract.

4.2 Invoicing

- a. Invoices will be raised as per the contract for individual studies.
- b. The contract will state when the Trust can raise an invoice and the preferred payment plan. A completed request for raising a debtor invoice is sent to Finance. This process is completed by R&D. The details of the requisition are added to the Invoice Log. Once the official invoice has been raised this is indicated on the log. An electronic version of the request for an invoice to be raised, along with the official invoice is saved within the R&D requisition directory under the month it was raised.
- c. The Trust's preferred method of payment is by raising an invoice and receiving payment by BACs, although some commercial companies automatically generate a payment once the data is verified on their own systems.
- d. NIHR funding is automatically transferred to the Trust and the finance department transfer the funds to the appropriate research account.

4.3 Payment to Departments

- a. Research Studies regularly use services of other departments in the Trust. These departments are required to send R&D an internal invoice on a regular basis. The activity on these invoices is checked with the Principal Investigator or their delegate and when agreed, an email request is sent to the Research Management Accountant to transfer the agreed sum from the research account to the designated account.
- b. The mechanism for paying patient expenses is outlined in SOP092: Research Account Management.

4.4 Research Capability Funding

a. Background

1. NIHR research capability funding (RCF) is allocated to research-active NHS organisations or NHS health care providers, to enable them to maintain research capacity and capability.

What are the aims of research capability funding?

The aims of RCF funding are to:

- help research-active NHS organisations to act flexibly and strategically to maintain research capacity and capability.
- support the appointment, development and retention of key staff undertaking or supporting people and patient-based research.
- contribute towards the costs of hosting NIHR-funded or ‘adopted’ research that are not currently fully covered across NIHR’s programmes, and that are not met in other ways.

RCF is allocated to research-active NHS bodies or NHS health care providers under one of two circumstances:

- they received sufficient NIHR income during the previous calendar year to reach a threshold of £20k required to trigger an RCF allocation, or
- they recruited at least 100 participants per year to research studies conducted through the NIHR Clinical Research Network (CRN)

The primary use of RCF is to help the NHS to retain research active staff, staff who are between grants, and support staff. The next call on RCF is to meet unfunded indirect costs of research. The recipient organisation also has discretion to meet other costs associated with the preparation of bids for research funding for the NIHR of its funding partners.

b. RPH allocation of RCF funding

RPH allocates RCF funding in line with the guidance given in section 4.4a. On an annual basis the R&D department in association with the Trust R&D Finance Manager review staff costs which fall within the guidance and allocate the funds in line with these.

For funding requirements outside of this annual review, requests for funding staff who are between grants can be made to the Head of R&D (papworth.randdadmin@nhs.net).



Funding requests will be reviewed for research delivery and PTUC management staff who are between grants.

5 Risk Management / Liability / Monitoring & Audit

- a. The R&D SOP Committee will ensure that this SOP and any future changes to this document are adequately disseminated.
- b. The R&D Department will monitor adherence to this SOP via the routine audit and monitoring of individual clinical trials and the Trust's auditors will monitor this SOP as part of their audit of Research Governance. From time to time, the SOP may also be inspected by external regulatory agencies (e.g. Care Quality Commission, Medicines and Healthcare Regulatory Agency).
- c. In exceptional circumstances it might be necessary to deviate from this SOP for which written approval of the Senior R&D Manager should be gained before any action is taken. SOP deviations should be recorded including details of alternative procedures followed and filed in the Investigator and Sponsor Master File.
- d. The Research and Development Directorate is responsible for the ratification of this procedure.



Further Document Information

Approved by: <i>Management/Clinical Directorate Group</i>		Research and Development Directorate					
Approval date: <i>(this version)</i>		[Current active version approved date]					
Ratified by Board of Directors/ Committee of the Board of Directors:		STET					
Date:		N/A					
This document supports: <i>Standards and legislation</i>		Medicines for Human Use (Clinical Trials) Regulations 2004 and all associated amendments. UK Policy Framework for Health and Social Care Research (2023)					
<p>Equality Impact Assessment: Does this document impact on any of the following groups? If YES, state positive or negative, complete Equality Impact Assessment Form available in Disability Equality Scheme document DN192 and attach.</p>							
Groups	Disability	Race	Gender	Age	Sexual orientation	Religious & belief	Other
Yes/No	No	No	No	No	No	No	No
Positive/Negative							
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