**APPLIED HEALTH RESEARCH**

**PROGRAMMES**

 **FULL APPLICATION GUIDANCE NOTE**

**CODE: *CSO use only***

**RESEARCH PROJECT BRIEFING**

# **Confidentiality and Data Protection**

Details of confidentiality and data protection can be found in condition 6 of the Grant Agreement. Further details on CSO’s Privacy Policy is available of the CSO website.

## **Privacy notice**

CSO will use information provided on the application forms in processing of the forms, any grant awarded and subsequent payments, including management and review processes. This includes:

* operation of CSO’s grants processing and management information systems;
* the acquisition of UK and international referee comments on the application or preparation of material for use by a peer review committee;
* administration, investigation and review of grant applications;
* statistical analysis to inform the evaluation of the quality of the research undertaken and to study demographic trends, policy and strategy studies.

To meet CSO's public accountability and information dissemination obligations, details of funded grants will also be made publicly available on CSO's external website and other publicly available databases, and in reports and/or paper documents. The following information contained in funded research proposals may routinely be made publicly available:

* name of the Grantee;
* details of investigators (title, forenames, initials, surname, research institution and department);
* name(s) of programme partner organisations;
* programme title;
* non-technical summaries of the proposal;
* value and duration of proposal;
* details of peer review bodies involved in the awarding decision;
* Non-technical summaries of the programme that are prepared by the Chief Investigator once the programme has completed.

# **Full Application Form**

## **Co-funding or “in kind” support (Section 1.4)**

For full grants only, CSO is willing to consider joint funding with other bodies and recognises the benefits in terms of leverage that this can entail. This is conditional based on the following:

* CSO expects that any contribution it makes to a programme will be a minimum of 50% of the total cost.
* The Grantee will confirm to CSO the levels of funding received from other bodies.
* In order to preserve accountability, the outcomes from the CSO contribution should be identified separately; this means CSO will actually be funding a discrete element of the programme rather than simply making a non-identifiable contribution.
* Any funding letter which is issued to a programme which is seeking contributions from elsewhere will be conditional on the other money being available; if the other money is not available within a reasonable period (approx 6 months) then CSO will reserve the right to withdraw its contribution.
* Any progress reports for the programme should cover both the programme as a whole and the specific components funded by the CSO contribution.

## **Referees for peer review (Section 6)**

Please provide details of ten independent referees at least half of whom are to be based outside Scotland whom CSO may approach for assessment of the research proposal. Applications will only be accepted if details of 10 suitable (see below) referees have been provided. Nominated referees shall be experts in the research field and/or be able to provide an expert view on the value and benefits to users of the research proposal.

Investigators **shall not** provide referees:

* from their own organisation;
* from current or proposed programme partners;
* where the applicants have working/collaborative relationships now or at any point in the past 5 years or where any possible conflict of interest may arise.

An e-mail address must be given for each referee.

## **Financial Support (Section 7)**

The limit for a full grant, including Full Economic Costs (FEC) where applicable, is stated in funding call. This limit represents the level at which a grant will be ‘capped’. CSO will pay up to 80% of the Full Economic Cost of a programme up to the limit. The Research Institute must ensure that any part of the FEC of the programme not funded by CSO is committed to the programme before it starts.

Programmes administered by and involving exclusively NHS staff and facilities are not affected by Full Economic Costs; these programmes will continue to be funded in full up to the maximum limits as set out below.

Financial support: Table 1

Table 1 should summarise the full economic costs.

CSO Costs: Table 2

Table 2 should summarise the costs requested from CSO on the basis of 80% of the full economic costs up to a maximum stated in the funding call. Costs should be rounded to the nearest £. All full economic costs should be at current prices i.e. no salary or price increases should be anticipated (other than normal increments if applicable). Applications for funding should not exceed the amount stated on the funding call.

NHS Costs: Table 3

Table 3 should provide details of NHS Support and Treatment/Excess Treatment Costs. The information that is requested on the grant application form is for information only and no additional funds will be made available for Service Support Costs. The R&D Lead Officer should sign Section 7 acknowledging the grant application and is aware of the potential for Service Support Costs to be incurred. If the programme involves more than one NHS organisation, the R&D Lead Officers from each area should be consulted and should sign Section 7.

The application also requests details of the Standard Treatment Costs/Excess Treatment Costs over Standard Costs associated with the programme. Treatment Costs are the patient care costs that can be attributed to particular activities and which would continue to be incurred if the particular patient care service in question were still to be provided once the R&D activity had stopped.

Where non-standard patient care is being provided, the difference between the total Treatment Costs and the costs of the “standard alternative” can be termed the Excess Treatment Costs over Standard Costs.

## **2.4 Detail of full economic cost ANNEX B**

**Table A : Directly incurred Staff costs**

All staff costs requested should be fully justified in Section 8.7 pf the application. The case for staff should be justified in terms of the standard of expertise and workload required by the research. In the case of programmes which require medical staff, applicants should consult the Health Board concerned prior to submission, on the grade and tenure of post, and type of contract which may be necessary. Applicants are advised to consult their Finance Officer about all proposed salaries. Normally, the salary scales and conditions of service which apply to equivalent workers employed by the Grantee will be accepted.

In your proposal you shall enter:

* Grade, starting spine point, increment date, starting salary - these shall be in accordance with the normal practice of the organisation where the proposed staff would be employed.
* Period on programme and % of Full Time - these values are required to derive the staff effort on the programme.

When completing the table:

* Salaries and allowances shall be entered at current rates;
* Include only the salary costs for the time to be spent working directly on this programme.
* Salary increments over the period of the programme shall be taken into account, but possible future pay awards shall not be anticipated.
* Where it is expected that contract staff will be promoted during the lifetime of the grant provision may be made in the grant proposal. Such funds will be awarded only if they have been justified in terms of the research.
* The total salary costs for any individual on all CSO grants must not exceed 100% FTE.
* For any one investigator, the maximum amount of time that CSO will fund across all the programmes they support is a maximum of 1650 hours a year (equivalent to 37.5 hours a week, 44 weeks a year).
* Associated studentships are funded at 100% of the standard values of stipend. Students must not be counted in the FTE when charging estates and indirect costs on the application form nor should any investigator time be funded on the grant to cover provision for student supervision. Any other eligible resources requested for the programme student as part of the grant proposal (such as equipment, consumables) should be calculated at 80% FEC.
* Costing for a PhD studentship should be based on the UK Research and Innovation minimum stipend of £17,668.

Only include details of the payroll costs for staff, (eg Chief investigators, Co- Investigators, research assistants, technical and other support staff) full or part- time, who will work directly on the programme and whose time can be supported by a full audit trail during the life of the programme i.e. time recording.

* Chief Investigators, Co-Investigators and Fellows whose time and salaries are already being wholly (100%) awarded in the FEC of other CSO research grants, or in a CSO core funded research unit or in a single separate fellowship provided by CSO shall still be declared, but with a zero salary cost request.
* For Chief Investigators and Co-Investigators whose time is not fully funded on other CSO grants, but who are not paid a salary by the Grantee (e.g. emeritus or honorary staff) shall complete under the hours charged to the grant, the amount of their time that contributes to the calculation of estates/indirect costs (up to a maximum equivalent to a 37.5 hours a week) but with a zero salary cost request.
* If a Chief Investigator or Co-Investigator is retired, but is employed by the Grantee e.g. on a part-time consultancy basis you shall enter the time and costs associated with the post as normal.
* If a Chief Investigator or Co-Investigator is fully retired and is not receiving a salary then there is no requirement for an employment contract, but the hours charged to the grant and the amount of their time will contribute to the calculation of estates/indirect costs (up to a maximum equivalent to a 37.5 hours a week) but their salary cost requested shall be zero. The Grantee must ensure that there are arrangements in place to line manage and take responsibility for the retired worker.

**Table B : Directly Incurred Non – Staff Costs**

Funds for open access publication or conference attendance should not be included here. A separate application is made post award for dissemination costs.

Travel

All items must be fully justified in Section 8.7. No allowance should be made for inflation. Travel and subsistence rates should be those allowable under the Grantee’s own regulations; if the Grantee has no relevant regulations, an estimate of the proposed actual expenditure should be included.

Other

List any other directly incurred costs in this section, with a brief description of each item, or group of items.

Items shall be specified as far as possible in the proposal and justified in terms of requirement for the research proposed.

Examples of items that may be included under this heading are:

* consumables - please specify.
* specialist publications (not expected in institutional libraries).
* consultancy fees.
* field work fees/subjects/informants.
* social survey costs.
* computing - include recurrent costs of computing dedicated to each programme only, eg. software licences. Do not include any costs associated with the use of the Grantee's central computing facilities.
* equipment - only items costing less than £3,000 (including VAT).
* equipment-related items (if not included as part of the Grantee’s estates costs).
* maintenance (external contracts/agreements).
* relocation.
* rental/access charges (specify equipment or service being used and basis of charging).
* costs from collaborating institutions.
* a contribution to the indirect costs and estates costs associated with overseas locally employed research staff funded through the research grant.
* General office and basic laboratory consumables shall be included as an indirect cost.

Equipment

The purpose of the Grant is to fund research activity and therefore equipment costs and purchases by the Grantee should be kept to the minimum necessary and as a very minor proportion of the Grant funds used. Equipment costs will be assessed for value for money and need as part of the evaluation of the research Grant Application Form.

Any equipment procured through the Grant will be the property of the Grantee who will be responsible for appropriate ongoing insurance, safety and maintenance of any equipment. The procurement of equipment, consumables and services, including maintenance by the Grantee, must comply with all relevant applicable legislation and consideration must be given to the energy and waste implications of all procurements.

Use this heading to request equipment dedicated to the programme and costing £3,000 or more (including VAT). Include capital costs plus any maintenance and other related costs that are not included in the Grantee’s estates costs.

All entries must be justified.

* all costings must be entered at current prices with no allowance for inflation.
* for all equipment and services costing more than £10,000, professionally qualified procurement staff must be consulted at the beginning of the procurement process and must approve the order before it is placed with the supplier.
* items of equipment costing less than £3,000 must be included as Other Directly Incurred costs.

Clinical Trial Regulations

For trials falling with the scope of the Clinical Trial Regulations, the following research costs may be included in this heading:

* Authorisation fees and charges.
* Pharmacy costs – if the production of placebos or other activities can conveniently be undertaken in an NHS hospital pharmacy along with normal routine pharmacy preparation, storage and distribution, without incurring significantly greater costs than normal handling of other medicines, then they should be classed as NHS support costs. However, if the activities including the preparation of placebos involve additional formulation (e.g. placebo injections) and/or production under standards of Good Manufacturing Practice in licensed premises or otherwise with significantly greater costs than normal handling, then they should be regarded as research costs and included in this heading.
* Justification for these costs should be fully provided in the application.
* Good Clinical Practice compliance and the cost associated with other activities e.g. pharmacovigilance, will normally be expected to be met through NHS trials management arrangements. Any exceptional costs falling out with the above allowable research costs should be fully documented and explained.

Exceptional items

All items must be justified in Section 8.7. No allowance should be made for inflation. This section is limited to the following items, which should only be included where their use is specifically related to the programme. Where costs exceed the amounts stated below, the full costs should be included:

* Equipment energy costs - identify equipment where the energy costs directly related to the programme are expected to exceed £2,000 pa. (installation of metering costs is not allowable). Corroborating paperwork such as the manufacturer’s technical specification, or other power bills, if available, should be submitted in support of the application;
* Equipment insurance - identify equipment which requires an additional or enhanced premium (including third party liability) because of its use on the programme and where this extra cost exceeds £2,000 pa;
* Equipment procurement - where equipment procurement involves other than normal tendering, for example quantity surveying, site supervision, etc. and where costs exceed £5,000, these should be identified;

Telephone/specialist postal costs - these may be included where dedicated or separately metered lines and/or specialist postage requirements are directly related to the programme and the individual costs exceed £2,500 over the period of the grant.

Specialist cartography/photography/reprographic services - these may be included where total costs are directly related to the programme and are likely to exceed £5,000 over the period of the grant.

**Table C: Directly allocated Costs**

These costs shall include the cost of shared resources, such as some staff and equipment. The total cost shall be stated, but there is no requirement for information regarding its derivation or justification.

Include the estimated salary costs of laboratory technicians in academic departments and all non- laboratory technicians, secretarial and computing staff who are part of a ‘staff pool’ supporting a range of facilities and programmes in this section. Where these salary costs cannot be separately entered as Other Directly Allocated, they shall be left in the Estates cost section.

Include the costs of central and distributed computing and charge out rates for shared equipment. Charges for use by the programme of existing equipment must not include any element of depreciation if the equipment was purchased from CSO funding.

These costs must be applied by using one of the following four headings:

1. costs of pooled staff

2. usage costs of research facilities

3. central & distributed computing

4. charge out rates for shared equipment.

Staff

Include the costs of all Chief, Co-investigators and any other staff working directly on the programme, whose time charged to the grant will be based on estimates rather than actual costs. Where costs are actual, auditable and verifiable, they shall be included under the Directly Incurred heading.

Include only the estimated salary costs for the time to be spent working directly on this programme.

For what is the contracted working week expressed as a % of full-time work show the number of hours the investigator is contracted to work as a % of the standard working week. This must be greater than zero and no more than 100%. For example someone who was contracted to work 20 hours, based on a standard of 37.5 hours for a normal working week, would enter a figure of 53%.

For average number of hours per week charged to the grant enter the number of hours a week charged to the programme over the planned duration. This must be greater than zero and no more than 37.5 hours, which is the standard working week assumed in FEC arrangements. For example, if they work for 20 hours a week in the first year and then 5 hours a week over the next two years on a 36 month programme, then their hours per week would be 30/3, 10 hours per week.

For rate of salary pool/pay banding (£) enter the estimated salary pool/pay banding costs for the investigator averaged over the planned duration. Note that CSO does not pay salary costs which relate to distinction awards or discretionary points.

For cost estimate (£) enter the estimated total cost of the investigator based on salary pools, pay bands or actuals, bearing in mind that all cost estimates will be made available to peer review. Information on salary pools/pay banding shall be entered at current rates.

The estimated amount of all pool staff must be justified in Section 1.

For cost estimate (£) enter the estimated total salary costs of all pool staff based on FTE, averaged over the planned duration.

Estates

These costs are to be shown as a single figure (£ total for the programme). There is no requirement for information regarding its derivation or justification. These costs may include building and premises costs, basic services and utilities, lease/rent/rates, insurance, cleaning/portering/security/safety, staff facilities, and any clerical staff and equipment maintenance not already included as either a Directly Incurred or Directly Allocated cost.

Where an individual will be working away from the grant holding institution for a period of longer than 6 months during the programme the estates costs must be reduced pro-rata.

Indirect costs

Indirect costs are non-specific costs charged across all programmes based on estimates that are not otherwise included as Directly Allocated costs. Indirect costs may include general office and basic laboratory consumables, learning resources, typing/secretarial support, finance, personnel, public relations and departmental services, long term data storage, central and distributed computing and the cost of capital employed (including redundancy).

CSO will not pay indirect costs on individual staff who are CSO funded and whose award already includes an overhead component.