**Policy on pre- and post-award processes for Research and Consultancy Projects**

1. **Pre-Award**
	1. All planned bids must be logged on the Bids Database via the online logging system (<http://www.worcester.ac.uk/researchportal/738.htm>) or by submitting a copy of the Bid Approval Form to Research Funding Office. Staff must ensure that their Line Manager/Head of Institute is aware of the bid being made.
	2. A reference number will be provided by the Research Funding Office and emailed to the Principal Investigator. No costing or signoff is to take place without this reference number which will be retained for the life of the project. The internal reference number is unique to each project and must be quoted in all communication relating to the project.
	3. A Full Economic Costing must be completed for all bids, alongside the ‘pricing’ of the project. Both the costing and the pricing must be approved and signed off by Finance ***prior to*** submission.
	4. All bids must be approved and signed off by Heads of Institute or line managers (as agreed within Institutes) ***prior to*** submission.
	5. A copy of the final version of the bid (in both electronic and paper form) should be submitted to the Research Funding Office ***prior to*** submission.
	6. All bids must also be approved and signed off by Finance, Head of Institute (or nominee) and the Deputy Pro-Vice Chancellor Research ***prior to*** submission. This approval will be organised by the Research Funding Office.
2. **Post-Award**

***Accepting an award***

1. Upon being awarded funding the PI must inform the following:
* Research Funding Office
* Finance
* Head of Institute
* ASU manager/Centre Administrator/Unit Administrator
1. The ASU Manager will transfer the project to the LIVE PROJECTS database.
2. A checklist to ensure that the research conforms to requirements of UW research being for the public benefit will be completed by the Research Funding Office and Finance.
3. Contracts and agreements must be forwarded to the Research Funding Office prior to signature. The official legal representative for research contracts and agreements is the Deputy Pro-Vice Chancellor Research. Where appropriate a PI can sign a contract/agreement but never without prior consent from the Research Funding Office. Contracts and/or agreements may be forwarded to the University’s solicitors for further legal advice.

***Activating an award***

1. A finance code is set up using the information provided by the funder – this is done by the Institute specific accountant.
2. Finance must send an email to the PI, ASU manager/Centre Administrator/Unit Administrator and the Research Funding Office containing the following information:
3. The code to which expenditure should be coded
4. The name of the budget holder who has the authority to sign off expenditure
5. Start date and end date of the project
6. Detailed breakdown of forecasted pay and non-pay throughout the life of the project
	1. Finance in liaison with the Research Funding Office will ensure that:
7. that the funding is coded to the correct HESA and REF codes
8. that the funding has the correct internal finance code (research or project)
9. that pay is journaled from the project code to the general ledger for the appropriate institute

***Managing an award***

* 1. It is the overall responsibility of the PI to manage an award – the PI will be given assistance from the Institute, the Research Funding Office and Finance
	2. It is the responsibility of the PI to communicate with the funder if anything in the project changes and to inform and seek acceptance/approval from the Institute, the Research Funding Office and Finance of such proposed changes prior approaching the funder.
	3. It is the responsibility of the ASU to provide a monthly update to each PI with details of expenditure and an outstanding balance of the grant. The outstanding balance must be recorded on the LIVE PROJECTS database every month.
	4. A report from the LIVE PROJECTS database will be submitted to each meeting of the University’s Research Committee (RC).

***Controls***

* 1. Institutes are obliged to carry out reviews to check milestones and progress of funded projects. This can be a standing item on individual Institute Research Committee agendas or Institutes can set up an alternative model. Projects with a value of more than £50,000 will need further review by the University. Institutes can refer projects for University review at any time.
	2. The University will carry out termly reviews of projects with a value of more than £50,000 or projects referred by Institutes.
	3. The PI and ASU manager must complete reports for above mentioned projects and submit to the Research Funding Office. If reports have already been submitted to the funding body, these can be used as evidence and no further reports will need to be completed. The Research Funding Office will contact PIs and request reports prior to the University review.

***Closing an award***

* 1. It is the responsibility of the PI to ensure that the project has been completed by the end date agreed with the funder
	2. Finance will close projects recorded on the LIVE PROJECTS database after confirming with the PI and ASU manager that all reports have been submitted and all expenditure has been recorded and no more income is expected.
	3. Upon closure of an award must be marked as completed on the LIVE PROJECTS database.
	4. The ASU Manager will transfer details of awards to an online archive named COMPLETED PROJECTS.

*Amended by Research Funding Office 30/11/2015*