



STANDARD OPERATING PROCEDURE

PREPARATION OF RESEARCH PROJECTS AND APPLICATION FOR FINANCIAL ASSISTANCE

LIABILITY COMPANIES

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CHANGE HISTORY

| Version | Date | Reason for change |
|---------|------------|--|
| 1.0 | 23/01/2014 | First Version of the Document |
| 2.0 | April 2016 | The version of the ISO standards is deleted and replaced by the phrase "in its current version". |
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1. PURPOSE

The purpose of this procedure is to establish the guidelines to be followed by VHIO staff for the development of research projects and the application for financial aid to develop them.

2. OBJECTIVE

The objective of this procedure is to obtain financial aid for research projects.

3. SCOPE

This procedure applies to all pre-clinical and translational research projects that VHIO applies for in competitive calls, in accordance with its quality management system.

4. REFERENCES

| Document | |
|----------|--|
| [1] | ISO 9001, in its current version, Quality management systems |
| [2] | MA-GENER_0001 Quality Manual |


5. DEFINITIONS

| Terms | Definition and activity |
|-----------------------|--|
| Call for applications | Announcement to apply for a specific project or assistance |

6. RESPONSIBILITY

Responsibilities in the development of the research project are:

- **Principal Investigators:**
 - Prepare the scientific report of the project to be applied for.
 - Prepare, with the assistance of the Research Support Office, the budget for the project to be applied for.
- **Research Support Office:**
 - Keep abreast of the publication calendar of competitive calls for research projects that may be of interest to VHIO's scientific team.
 - To support the preparation of the scientific report and, especially, of the budget of the scientific projects to be requested.

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- Collect and manage all the technical-administrative documentation necessary to apply for the research project, as specified in the call in question.
- Oversee all scientific documentation to be included in the application for financial support for the research project.
- Register the research project in SAP
- Document the entire project application process.

- **VHIO Finance Department:**
 - To support the preparation of the budget for the scientific projects to be requested.
 - Oversee all financial documentation to be included in the research project application.
 - Authorize the incorporation of projects into SAP.

- **Management:**
 - Sign the application for financial support for the research project.

7. RESOURCES

The resources assumed to be available in this procedure are as follows:

- SAP
- Disk storage space and the possibility of backup copies.
- Archiving space for hard copies.

8. PROCEDURE

8.1. Tickets

The entry of this procedure is the publication of a call for financial aid for research projects.

8.2. Exits


The outputs of this procedure are the final resolutions both for the granting and rejection of the applications submitted in these calls for applications.

8.3. Diagram of flow

No diagram is specified for this procedure.

8.4. Procedure

The Research Support Office periodically scans the most important websites in the sector to identify the publication of calls for financial support for research projects that may be of interest to VHIO's scientific team.

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8.4.1. Elaboration of the scientific report and budget

Once a call is published, the Research Support Office sends an email to all VHIO Principal Investigators (PIs), with a copy to the VHIO Director, explaining the basic characteristics of the call and specifying the deadline for submission of applications. Eventually, and always depending on the type of call, this email is also sent to all researchers, including pre-doctoral and post-doctoral researchers. At the same time, the Research Support Office itself analyzes the call in depth in order to, based on its knowledge of the scientific activities carried out at VHIO, detect interesting opportunities for the presentation of specific projects. In case of detecting a potential project that has not been proposed by the research teams, it is the Research Support Office itself who, proactively, proposes to the PI the possibility of submitting an application in the call in question.

The Research Support Office receives, from the different PIs of the VHIO, reports of the projects to be presented or project proposals and requests for assistance to prepare the report and/or the associated budget. The Research Support Office provides the necessary support to the different groups to, if necessary, complete the preparation of the scientific report and the associated budget, always following the guidelines set out in the published call for proposals. Eventually, VHIO's Financial Department may also provide support to the Principal Investigator in the preparation of the budget of the project to be applied for.

In the case of a grant associated with a research contract, to participate in a specific project, as there is no associated budget, and the amount is already allocated by the Funding Entity, the Research Support Office only supports the scientific part presented by the candidate.


8.4.2. Review of documentation and process of application

The Research Support Office compiles all the administrative documentation necessary for the submission of the application and carries out a technical review of the proposals received to ensure that they comply with the requirements established in the terms and conditions of the published call for proposals. The Head of the Financial Department reviews the budget, payment conditions and other economic conditions associated with the project.

Once all the technical requirements of the grant have been reviewed, the first step is the approval of the requested research project by the Directors of the Research Programs, with the supervision of the Director of the Center, and then the approval of the budget by the Head of the Financial Department. With the approval of the Scientific and Economic Department, all the documentation is prepared and sent to Management for the application to be signed.

In the case of grants associated with a research contract, the approval of the grant application by the Research Program Directors, with the supervision of the Center Director, is followed by the authorization of the Head of Finance ONLY if the grant is to be co-funded by the Center.

Depending on the call, the application process can be carried out by mail or telematically. In either case, the Research Support Office makes a copy of the proof of submission of the application, which must contain the exact date on which the documentation was sent. This proof of submission is saved in a specific file and a copy is made in electronic format and stored on a specific disk drive. A copy of the financial report signed by the Head of the Financial Department of the VHIO is also kept.

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8.4.3. Resolution of the call for proposals

All information regarding the resolution of the call is received at the e-mail address projectes@vhio.net, whose responsible is the Research Support Office.

Three types of resolutions are possible:

- A. denial of the requested aid.
- B. Identification of defects in the documentation submitted.
- C. granting of the aid requested for the research project in question.


A. Denial of the aid requested. The proposal of resolution is communicated to the PI responsible for the project, a joint meeting is held between the PI and the Research Support Office and, generally, the allegations considered pertinent are presented, as established in the call for proposals. The allegations are prepared and sent by the Research Support Office. Of all the documentation that is sent, the Research Support Office keeps a receipt in a specific file and makes a copy in electronic format that is stored in a specific disk drive.

B. Identification of defects in the documentation submitted. In this case the defects, which always refer to administrative aspects, must be corrected. The Research Support Office is responsible for carrying out all the necessary procedures to correct the defects detected, as established in the call and in the resolution. Of all the documentation sent, the Research Support Office keeps a receipt in a specific file and makes a copy in electronic format that is stored in a specific disk drive.

C. Granting of the requested aid. Once the final decision on the granting of a grant is published, the Research Support Office notifies the PI that the project has been granted, by e-mail, and registers the project in SAP, attaching all the documentation associated with the decision in a tab called "annexes". The project is saved in "pending financial review" mode and SAP automatically sends a notification to the Head of the Financial Department, who checks that the economic data of the grant matches those of the application. If everything is correct, he validates the project, changing its status in SAP from "pending financial review" to "open". Once this action is done, the project is loaded into VHIO's general budget and the PI can start executing the planned items. In case of finding any difference between the economic information contained in the project and the documentation of the resolution, or any other outstanding incidence, the Head of the Financial Department rejects the validation of the project, passing it in a status of "not validated finances". SAP automatically sends a notice to the Research Support Office with the reasons for the non-validation, who must correct the defects identified. Once the changes have been made, the project returns to the "pending finance review" status and SAP sends a notification to the Finance Department Manager to review it again. This process is repeated until everything is correct and the Head of the Finance Department proceeds to validate it, changing its status in SAP from "pending finance review" to "open". The Research Support Office sends, on a monthly basis, an email to all PIs announcing recently awarded projects.

9. METRICS


No metrics are contemplated in this procedure.

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10. RECORDS

The following records are generated as a result of the application of this procedure:

- Proof of submission of applications
- Scientific and economic reports of the applications submitted.
- Agreements signed
- Decisions to grant or deny
- Documentation generated in the correction process: record of its delivery and acceptance of the same.

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11. APPENDICES

There are no appendices in this procedure.