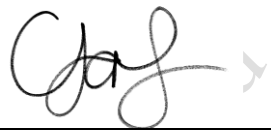



SOP 31 – PA allocation process

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Version:	3.0	
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Approved by Trust Senior Responsible Officer for R&I:	Noel Peter	
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IT IS THE RESPONSIBILITY OF ALL USERS OF THIS SOP TO ENSURE THAT THE CORRECT VERSION IS BEING USED

All staff should regularly check the Research & Innovation Webpage for information relating to the implementation of new or revised versions. Staff must ensure that they are adequately trained in the new procedure and must make sure that all copies of superseded version are promptly withdrawn from use unless notified otherwise by the SOP Controller.

The definitive version of all Gloucestershire Hospitals NHS Foundation Trust SOPs appear online. If you are reading this in printed form, check that the version number and date below is the most recent one as shown on the R&I website:

<https://www.gloshospitals.nhs.uk/about-us/research-our-hospitals>

The Gloucestershire Hospitals NHS Foundation Trust wishes to acknowledge York Hospitals NHS Foundation Trust and University Hospitals Bristol and Western NHS Foundation Trust who gave permission to use their templates in the development of these SOPs.

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Version History Log

This area will be updated with details of all changes made to the SOP whether due for full review or not.

Version	Details of Change	Date Implemented
1.0	Original SOP	27/06/2024
2.0	Addition of terms of reference for the panel meetings Additions to the panel attendees Updated job titles Clarification & addition of innovation projects to the application forms	01/10/2024
3.0	Addition of a Research PA agreement Addition of a PA activity summary form Updated job titles Grant work within the application and scoring matrix highlighted in detail Addition of income review in scoring matrix	

This SOP will be reviewed every three years unless changes to any relevant legislation require otherwise
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Related Documents:

SOPs
SOP 14 Study Income Distribution

Glossary

CI	Chief Investigator
GCP	Good Clinical Practice
GOG	Governance Oversight Group
NIHR	National Institute for Health and Care Research
PA	Programmed Activity
PI	Principal Investigator
PIC	Participant Identification Centres
R&I	Research & Innovation

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1. Introduction, Background and Purpose

This SOP describes the process of allocating, managing and monitoring Research and Innovation funding (R&I) that is allocated as Programmed Activity (PA) sessions to support R&I activity for the senior medical workforce (Consultants and SAS doctors).

The SOP will define the following;

- The application process for the allocation of a R&I PA time
- The criteria by which applications will be reviewed.
- The decision process which the PA review panel will follow
- The process for review of all R&I PAs
- The arrangements for reimbursement of a R&I PA.

2. Who should use this SOP?

- GHNHSFT medical staff wishing to apply for a PA to support R&I activity.
- The panel members who are involved in the decision-making process to award and review the PA allocation.
- The research finance team who will oversee the arrangements for reimbursement of a R&I PA.

3. When this SOP should be used

This SOP should be referred to when a PA is applied for, during the decision-making process for an allocation of a new PA and when reviewing existing PAs. The research finance team will refer to the SOP during the reimbursement process.

4. Applying for a Research & Innovation PA

Medical staff prior to applying for a R&I PA will need agreement from their clinical divisional lead to submit an application. The R&I PA must be explicitly recognised in consultant job plans. All PAs are awarded for a maximum of a twelve-month period and will be subject to a review, not less than once during the awarded period.

Medical staff wishing to obtain a R&I PA must be able to either demonstrate current research activity or the potential for growth.

- Current research activity levels should be evidenced by recruitment of patients to NIHR portfolio and commercial research studies. This should take into account NIHR portfolio non-commercial recruitment accrual weighted by the complexity of the research study, and the numbers of participants recruited to commercial studies.
- Demonstrate potential to increase a portfolio of NIHR adopted studies and/or commercial research, including a pipeline of feasible studies. All research should be subject to all relevant R&I and regulatory approvals.
- Demonstrate ability to develop new and original research activity, for example, as a Chief Investigator or be able to demonstrate a track record of successful grant funding, either as a main applicant or co-applicant.

All applicants must have evidence of valid Good Clinical Practice (GCP) training within the last three years prior to applying. The application form to be used can be found in Appendix 1. The application should be returned to ghn-tr.glos.riprofessionalservices@nhs.net

5. Criteria for Review of New Applications for PA

Applications received will reviewed by a panel review process, containing the following members;

- Director of Research, Innovation and Genomics (Chair)
- Research, Innovation and Genomics Business Manager (Deputy)
- Research Speciality Lead
- Research Matron
- R&I Professional Services Manager
- Member of the R&I finance team

Four members need to be in attendance for the panel to convene.

Once this panel has met and reached a decision using the scoring matrix found in Appendix 2, the applicant will be notified in writing by the R&I Professional Services Manager. If the applicant is awarded funding, a research PA agreement will be provided for the applicant to sign. Two copies of the Research PA agreement require signing, with one retained for filing in professional records and one to be returned the R&I Professional Services Manager for filing in the SOP 31 folder.

6. Review of all R&I PA

All R&I PAs including existing PAs will be subject to a review. This process will start three months prior to the end of the awarded period or sooner if significant reduction in activity predicted. If the holder of the PA/s wishes to retain the funding, evidence must be provided of delivery and progress against the objectives set out in the application. The R&I Professional Services Manager will contact each consultant who holds a PA, three months prior to the end of the awarded period asking if the clinician wishes to renew their application.

If the clinician wishes to apply for an extension to their PA funding the evidence should be provided on the review form found in Appendix 3. The

form will need to be returned to the ghn-tr.glos.riprofessionalservices@nhs.net email address.

The evidence submitted will be reviewed by panel as described in section five using the scoring matrix found in Appendix 2. Once the decision has been made, the applicant will be notified in writing by the R&I Professional Services Manager and the PA agreement signing process commenced, if the applicant is awarded continued research funding.

The research PA recipient will, with the support of the R&I Professional Services Manager, provide a summary of research activity which will be reviewed and agreed by the Head of R&I and Executive Lead for R&I. This document should be used as part of the standard appraisal process.

7. Appeal Process

If the research PA applicant wishes to appeal the decision of the panel, please inform the Professional Services Manager who will organise a further review based on the additional evidence and considerations requested by the applicant.

The outcome of the appeal will be relayed to the applicant in writing following the process as described fully in section 5.

8. The Arrangements for Reimbursement of a R&I PA

Once the PA has been awarded and the clinician with the divisional clinical lead has been informed in writing the funds will be transferred monthly. The expenditure will be transferred from the relevant senior medical budget to the R&I budget. This will show as CO2P with the analysis code of IN006.

Any existing locally agreed clinical excellent awards will be taken into account within the R&I PA funding but not the nationally awarded clinical excellent award.

When a clinician is awarded a PA, any study activity income, related to medical time costs, will not be transferred from R&I to the relevant medical budget.

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Appendix 1 – PA Application Form

Section 1: Demonstrable Current Research Activity OR Demonstrate Potential for Growth	
Current number of NIHR portfolio non-commercial studies acting as CI/PI divided into number of: Randomised Controlled Trials Non-interventional studies PIC studies Number of hosted studies involved in as a sub/co-Investigator	
Current number of commercial studies acting as CI/PI	
Recruitment into NIHR portfolio non-commercial interventional studies past 3 years	
Recruitment to NIHR portfolio non-commercial observational studies past 3 years	
Recruitment into commercial studies past 3 years	
Details of the NIHR portfolio non-commercial studies in set-up as CI/PI	
Details of the NIHR portfolio non-commercial studies identified as pipeline opportunities	
Details of the commercial studies in set-up as CI/PI	
Resource (e.g. research nurse support) currently attributed to this research activity	
Details of the commercial studies identified as pipeline opportunities and number of Expression of Interest submitted	
Details of research projects/interests/grant applications. Number of grants in preparation/submitted/awarded as a main applicant and as a co-applicant.	
Details of new novel research projects/activity involvement as CI and details of involvement in novel research as a sub-investigator	
How will you increase the number of research projects?	

Date of GCP training, obtained within the last 3 years	
--	--

<p>Section 2: Aims and Objectives – Please use this section to provide SMART objectives which will used to monitor the success of this funding at the end of year review</p>

<p>Section 3: Other Research Activity (within last 3 years)</p>	
Infrastructure/lead for	
Publications details	
Numbers of students supervised	
Conference presentations details	
Keynote speaker details	
Journal editorship/board member details	
Partnership/collaborations with other organisations details	
Membership of national or international research funding panels	
Membership of significant national or international policy committees	
Scope for growth and development	

<p>Section 4: Authorisation</p>	
Applicant Name	
Applicant Role/Job Title	
Clinical Divisional Lead name, signature and date	

Appendix 2 – Scoring Matrix

1.	NIHR Portfolio Activity	Score
	<p>Current number of NIHR non-commercial portfolio studies acting as PI</p> <p>Recruitment into NIHR non-commercial portfolio studies past 3 years or past 12 months for renewal application</p> <p>Weighted recruitment to NIHR portfolio non-commercial studies past 3 years or past 12 months for renewal</p> <p>Details of “infrastructure” acting as lead for</p>	
2.	Commercial Research Activity/Income	
	<p>Current number of commercial studies acting as CI/ PI</p> <p>Recruitment into commercial studies past 3 years or last 12 months for renewal applications</p> <p>Income generated past 3 years or last 12 months for renewal applications</p> <p>Number of planned commercial studies or case for “pump priming” commercial activity</p> <p>Number of EOIs submitted in past 3 years or in last 12 months for renewal applications</p> <p>Number of grant submissions, either as applicant or co-applicant</p>	
3	Innovation Projects/Novel Research Projects	
	<p>Number of Innovation Projects working as Clinical Advisor or potential PI</p> <p>Number of novel research projects as Chief Investigator</p>	
4.	Publications	
	<p>Publications for past 3 years or last 12 months for renewal applications</p> <p>Speaker invitations at national/international conferences last 3 years or last 12 months for renewal applications</p> <p>Conference presentations for past 3 years or past 12 months for renewal applications</p>	
5.	Supervision of higher degree students	
	<p>List how many PhD/MD students currently supervising</p> <p>Sole-principal or co-supervisor</p> <p>Source of funds for studentships</p>	
6.	Other measures of esteem	
	<p>Editorship or Board Membership of learned journals over last 3 years or past 12 months for renewal applications</p> <p>Membership of national or international research funding panels last 3 years or past 12 months for renewal applications</p>	
7.	Research activity, Grant and Innovation Income Review	
	<p>Breakdown of income generated, split by departments</p> <p>Does the medical income cover the PA cost</p>	

	Total Score	
--	--------------------	--

Each section will be scored as follows:

Demonstrated = 2

Partially Demonstrated = 1

Not Demonstrated = 0

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Appendix 3 – Review form for awarded PAs

Section 1: Demonstrable Current Research Activity	
Current number of NIHR portfolio non-commercial studies acting as CI/PI PI divided into number of: Randomised controlled Trials Non-interventional studies PIC studies	
Current number of commercial studies acting as CI/PI	
Recruitment into NIHR portfolio non-commercial interventional studies past 12 months	
Recruitment to NIHR portfolio non-commercial observational studies past 12 months	
Recruitment into commercial studies past 12 months	
Details of the NIHR portfolio non-commercial studies in set-up as CI/PI	
Details of the NIHR portfolio non-commercial studies identified as pipeline opportunities Number of EOIs submitted in 12 months	
Details of the Commercial studies in set-up as CI/PI	
Details of the Commercial studies identified as pipeline opportunities	
Resource (e.g., research nurse support) currently attributed to this research activity	
Details of research projects/interests/grant applications. Number of grants in preparation/submitted/awarded as a main applicant and as a co-applicant.	
Details of new novel research projects/activity involvement as CI and details of involvement in novel research as a sub-investigator	
Details of the Innovation Projects involved in and potential timelines for this activity if leading to a research study	
How will you continue to grow the number of research projects	

Section 2:

Aims and Objectives – Please use this section to provide evidence of progress against the objectives set out in your initial application (if PA awarded before this SOP was developed, please provide evidence of research growth and development in your area.

--

Section 3:**Other Research Activity (within last 12 months)**

Infrastructure/lead for	
Publications Details	
Numbers of Students supervised	
Conference presentations details	
Keynote speaker details	
Partnerships / collaborations with other organisations details	
Journal editorship / board member	
Membership of national or international research funding panels	
Membership of significant national or international policy committees	
Scope for growth and development	

Section 4:

Applicant Name	
Applicant Role	
Clinical Divisional Lead, name/signature and date	

Appendix 4 - Terms of Reference for the PA panel meetings

Gloucestershire Hospitals NHS Foundation Trust R&I PA Panel Meetings Terms of Reference

Accountable to	Research & Innovation Heads of Service Meeting/ NIHR Clinical Research Network (CRN) High Level Objectives (HLO)
Chair	Director of RIG RIG Business Manager
Deputy Chair	
Frequency of Meetings	As required
Quorum	At least four core members to include the Chair or Deputy Chair
Approval	Feb 2025
Review date	Feb 2026

1. PURPOSE

- a) The purpose of the Research & Innovation PA panel meetings is to consider new applications for PAs against the criteria set within this SOP and score these.
- b) Review all existing PAs either through a planned review or if a significant reduction in research activity is predicted

2. AUTHORITY

- a) The group is attended by the senior R&I Team and has authority to decide on the outcome of the review.

3. MEMBERSHIP

- a) The Group shall have not less than four members, the core members being:
 - Director of RIG (Chair)
 - RIG Research Business Manager (Deputy)
 - Research Speciality Lead
 - Research Matron
 - R&I Professional Services Manager
 - Member of the R&I finance team

4. MEETINGS and QUORUM

- a) Meetings shall be held as required, not more frequently than once a month. Any of the core members of the PA panel may request that an additional meeting be held if they consider that one is necessary.
- b) A quorum for the Panel shall be a minimum of 4 of the core members and to include either the Chair or Deputy Chair.

- c) Notice of each meeting, including an agenda and supporting papers, shall be sent to each member of the Panel not less than two working days before the date of the meeting.
- d) Meetings will normally take place virtually
- e) Outcomes from the Panel meeting will be recorded in writing and sent to the applicant/s.
- f) An annual schedule of review shall be set and regularly reviewed.

5. ATTENDANCE

- a) Other executive directors, senior managers or senior clinicians of the Trust may be invited to attend Panel meetings.

6. DUTIES

The Panel is responsible for the following main functions:

- a) Review of new or existing Research PAs application/s
- b) Decide to award or continue an existing Research PA
- c) Decide to decline a new application or stop an existing Research PA

7. REPORTING

- a) The group will evaluate its membership and performance on a regular basis through an annual review of its activities over the course of the previous year.
- b) The group will undertake an annual audit of compliance with its Terms of Reference.
- c) The group will review and update its terms of reference on an annual basis.

Appendix 5 - Research PA agreement (on headed Trust non-patient letter template)

Research & Innovation Department
2nd Floor, Leadon House
Gloucestershire Royal Hospital
Great Western Road
Gloucester
Gloucestershire
G11 3NN
ghn-tr.glos.riprofessionalservices@nhs.net

Dear [insert name]

Agreement for additional research Programmed Activity[ies]

Following your recent successful application, I am delighted to confirm your allocation of [insert amount] additional research Programmed Activity[ies] over and above the [ten] Programmed Activities that constitute your standard contractual duties contained within your substantive contract of employment. The additional research Programmed Activity[ies] will be incorporated into your Job Plan schedule.

Your substantive contract of employment is not affected or amended by the terms and conditions contained within this letter, which apply only to this additional research Programmed Activity[ies].

The remuneration for this additional research Programmed Activity[ies] is covered by clause 21 of your substantive contract of employment, and Schedules 13 and 14 of the Terms and Conditions – Consultants (England) 2003, as amended from time to time. Additionally, the remuneration for the research activity is funded through the Research and Innovation (R&I) budget and is offered on a fixed-term contractual basis. This remuneration is not eligible for pension benefits.

Your additional research Programmed Activity will commence on [date] for a fixed period [insert time] until [date] ("the Term"), but may be terminated sooner upon service of [insert statutory notice period based on length of service] notice by either party. Termination of this agreement for additional Programmed Activity[ies] will have no effect on your substantive contract of employment.

The allocation of this additional research Programmed Activity[ies] to you will be kept under review and is always subject to the availability of

funding and the availability of research activity.

At the end of the Term, subject to availability and your performance during the Term, provided the Trust offering further research Programmed Activity[ies] at that time, you may submit an application in accordance with the applicable Programmed Activity Allocation Process SOP. This will be considered alongside any other applications we receive and our decision on whether you have been successful in your application will be communicated to you.

We reserve the right to terminate the research Programmed Activity(ies), including any associated fixed-term contract, immediately and without notice or payment in lieu of notice in cases of gross misconduct or a serious breach of your obligations, specifically where these obligations relate to the additional research Programmed Activity(ies). Such action will be taken in accordance with the applicable disciplinary policy.

Additional research Programmed Activity[ies] are not subject to pay protection arrangements.

In accepting our offer of additional research Programmed Activity[ies] you agree that you will undertake any reasonable task allocated to you as part of the research endeavour.

Your performance in relation to the additional research Programmed Activity(ies) will be reviewed as part of the appraisal process. You are required to prepare a performance summary outlining your progress against the agreed objectives for your research Programmed Activity(ies). This summary should be submitted to the Professional Services Manager, and final sign-off will be undertaken by the Head of Research & Innovation (R&I).

In delivering your performance and personal objectives, as agreed with the Head of R&I, you are expected to work towards the research objectives outlined in your research Programmed Activity(ies) application form. This includes taking all reasonable steps to meet recruitment targets, supporting a pipeline of studies, submitting Expressions of Interest, and embedding research within your department.

Your annual leave entitlement is addressed in your substantive contract of employment and this letter does not vary the existing leave provisions which are applicable to you in your substantive post and will be applied pro-rata to any additional hours worked in this role. Please refer to your substantive contract for the other provisions relating to

your employment with the Trust.

You have received two copies of this letter. Please sign and return one copy to the R&I Professional Service Manager, R&I Department, Leadon House, Gloucestershire Royal Hospital, and retain one copy for your records.

Yours sincerely [Signature]

On behalf of Gloucestershire Hospitals NHS Foundation Trust I hereby accept the offer of additional research Programmed Activity[ies] on the terms and subject to the conditions mentioned in this letter.

[Signature]

[Date]

This offer and acceptance of it shall together constitute a contract between the parties

Appendix 6 - Research Activity Summary Form for Research PA recipients

<p>Summary of Objectives listed on Research PA application form</p>
<p>Details of objective achievements</p>
<p>Hosted research study activity details (including details of types of trials, PI or co-I, recruitment achieved compared to target, number & type of EOIs submitted)</p>
<p>Local research study activity details (including a list of grants prepared, submitted, successful/unsuccessful, service evaluations and research projects)</p>

Details of publications, poster and podium presentations
Summary of research income

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