



## Research Governance Office Sponsorship Standard Operating Procedures

### Sponsor Finance Process

|                          |                                                                                     |
|--------------------------|-------------------------------------------------------------------------------------|
| <b>SOP Reference</b>     | S-1040                                                                              |
| <b>Version and Date</b>  | V4.0 September 2026                                                                 |
| <b>Author</b>            |                                                                                     |
| Name                     | Claire Fitzpatrick                                                                  |
| Job Title                | Research Quality Assurance Officer                                                  |
| Name                     | Yasmin Godhania                                                                     |
| Job Title                | Research Governance Adviser                                                         |
| <b>Reviewer/Approver</b> |                                                                                     |
| Name                     | Dr Cat Taylor                                                                       |
| Job Title                | Head of Research Governance                                                         |
| Signature                |  |
| Date                     | 01 September 2026                                                                   |
| <b>Effective Date*</b>   | 01 September 2026                                                                   |
| <b>Next Review Date</b>  | September 2029                                                                      |

|                                                                                                                                                                  |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| SOP Reference                                                                                                                                                    | S-1040              |
| Version and Date                                                                                                                                                 | V4.0 September 2026 |
| Page Number                                                                                                                                                      | Page 1 of 6         |
| Paper copies of this document may not be the most recent version. The definitive version is held on the Research Governance Office <a href="#">SOP webpage</a> . |                     |

## 1.0 Introduction and Scope

This Standard Operating Procedure (SOP) defines the process for identifying and documenting funding for all research (referred to as 'trials' hereafter) Sponsored by the University of Leicester (UoL).

A key part of the Sponsor Review process is to ensure that a trial has adequate resource and funding be delivered in line with the approved protocol, contracts or agreements. When undertaking the Sponsor Review (and Risk Assessment process, where applicable), the Research Governance Office (RGO) expects documentation to include confirmation that adequate funding for the trial is in place, or is in progress, before confirming UoL Sponsorship. In the case of CTIMP and Medical Device trials, this includes costing in the provision for monitoring activity.

This SOP must be used by all those involved in the costing of trials Sponsored by the UoL, and must be used in conjunction with the appropriate funder, Department of Health and NIHR guidance as relevant, and must take into account AcoRD (Attributing the Costs of health and social care Research and Development), and other University Financial Regulations.

## 2.0 Process

All areas of cost need to be identified, and adequate funding must be secured or in progress, during the trial planning stages.

### 2.1 NHS Costs

All NHS research, support and treatment costs must be identified in the SoECAT and it is vital that the research costs are secured within the funding application. Advice should be sought from the NIHR Research Delivery Network (RDN) about the completion of the SoECAT

**Failure to secure all costs may result in an NHS Trust refusing to host the trial due to a lack of appropriate funding.**

### 2.2 RGO Monitoring Costs

In the event of CTIMPs or medical device trials, quotations for monitoring costs must be sought from the RGO in advance of a funding application and must be included in the funding application.

**Failure to include adequate budget for monitoring activity may result in a refusal for the UoL to sponsor the trial and/or the requirement to provide funding from an alternative source (i.e., departmental funds).**

## 3.0 Funding Applications

|                                                                                                                                                                  |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| SOP Reference                                                                                                                                                    | S-1040              |
| Version and Date                                                                                                                                                 | V4.0 September 2026 |
| Page Number                                                                                                                                                      | Page 2 of 6         |
| Paper copies of this document may not be the most recent version. The definitive version is held on the Research Governance Office <a href="#">SOP webpage</a> . |                     |

### 3.1 External Funding

Applications for external funding are managed through Worktribe. The pre-award and contracts (PAC) team have laid out the following expectations and timelines which must be adhered to to enable sufficient time for institutional costing, review and approval;

- **Minimum 6 Weeks (30 working days) to funder deadline:**
  - Clinical bids, bids with international partners, and other complex bids (as determined in consultation with the Research and Partnerships Development team):
    - Notify the PAC team of intention to apply for funding, with funder deadline.
    - PAC team will contact you to support some elements of the costing.
      - For complex and/or high value submissions, applicants (i.e., Chief Investigator (CI)) can access additional support for proposal development and stakeholder management via the Research and Partnerships Development Team.
- **3 Weeks (15 working days) to funder deadline:**
  - All Worktribe records (and supporting documents) to be submitted to the PAC team. It is not expected that substantial changes to the required resources will be made beyond this point.
  - PAC team will work with the applicant to refine costs in line with funder requirements, UoL policies and perform any required due diligence and funder specific compliance checks.
  - Should further refinement be required following the PAC team checks, they will work with the applicant or their delegate to achieve these.
- **1 Week (5 working days) to funder deadline:**
  - Worktribe record to be finalised, with copy of the application attached and submitted to Head of Department/School/College for approval.
- **2 working days to funder deadline:**
  - Application to be fully completed on funder portal ready for final checks and onward submission to funder by PAC.

Further guidance can be found within the 'Help' tab on Worktribe.

#### 3.1.1 Exceptions

On the rare occasion that a funder issues a short notice deadline, applicants must liaise immediately with PAC who will support where possible.

### 3.2 Internal Funding

Where the study is to be internally funded using College or Departmental funds, the CI must ensure that adequate funding is ring-fenced. Confirmation of this should be secured from the appropriate Head of Department (HoD)/School (HoS)/College (HoC) and evidence retained. Confirmation of funding must be

|                                                                                                                                                                  |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| SOP Reference                                                                                                                                                    | S-1040              |
| Version and Date                                                                                                                                                 | V4.0 September 2026 |
| Page Number                                                                                                                                                      | Page 3 of 6         |
| Paper copies of this document may not be the most recent version. The definitive version is held on the Research Governance Office <a href="#">SOP webpage</a> . |                     |

communicated to the RGO to enable the Sponsor review process to be completed.

## 4.0 Procedure and Responsibilities for externally funded studies:

### 4.1 Project Costings stage:

| Responsibility | Undertaken by           | Activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CI             | CI or delegate          | Before submitting a research funding application, identify the full economic costs for the proposed study.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| CI             | CI or delegate          | For NHS costs:<br>a) refer to the Costing Considerations for NHS Research document (Appendix 1) to ensure proper identification of NHS research, support and treatment costs – advice should be sought from the NIHR Research Delivery Network (RDN) about the completion of the SoECAT.<br>b) consult with relevant departments and service providers (e.g., individual NHS trust) involved in the research, clinical trials units, pharmacies and obtain evidence of agreed research costs. NB. Each Trust needs to be asked because there may be differences in costs.<br>c) For CTIMP and Medical Device trials, seek a monitoring quote from <a href="mailto:rgosponsor@le.ac.uk">rgosponsor@le.ac.uk</a> . |
| CI             | CI or delegate          | Make contact with the pre award and contracts team (PAC) as early as possible and by the timelines stated in section 3.1 by submitting a full project costing application via Worktribe.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| RED            | PAC team                | Check costings and approve if appropriate, or request further information from CI if required to enable this.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| RED            | PAC team/HoD/HoS HoC    | Review and sign off costings.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| RED            | PAC team or delegate    | Submit application for funding                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| CI/PAC team    | CI or delegate/PAC team | Ensure Worktribe record is appropriately maintained                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

### 4.2 Notification of award stage:

| Responsibility | Undertaken by  | Activity                                                                                                                                    |
|----------------|----------------|---------------------------------------------------------------------------------------------------------------------------------------------|
| CI             | CI or delegate | To update Worktribe with the status of the funding award (e.g., in progress, in second stage, rejected), and provide evidence as necessary. |

|                                                                                                                                                                  |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| SOP Reference                                                                                                                                                    | S-1040              |
| Version and Date                                                                                                                                                 | V4.0 September 2026 |
| Page Number                                                                                                                                                      | Page 4 of 6         |
| Paper copies of this document may not be the most recent version. The definitive version is held on the Research Governance Office <a href="#">SOP webpage</a> . |                     |

| Responsibility | Undertaken by                           | Activity                                                                                                                                                                     |
|----------------|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CI             | CI or delegate                          | If external funding awarded but no funding application completed, identify all study costs and complete Worktribe application                                                |
| RED            | PAC team                                | RED starts to set up the award and informs RGO of award                                                                                                                      |
| RED            | PAC team                                | RED agrees funding offered on funder terms (or after negotiation) in accordance with RED procedures                                                                          |
| RGO            | Head of Research Governance or delegate | RGO conducts Sponsor Review                                                                                                                                                  |
| RED and RGO    | Staff in RSS                            | If awarded amount is lower than requested, notify CI and RGO                                                                                                                 |
| RGO            | Head of Research Governance             | If notified by RED that awarded amount is lower than that applied for, decide whether study can be Sponsored with available budget                                           |
| CI             | CI or delegate                          | Where there is a shortfall in budget awarded and the CI decides to use internal College or Departmental funds, then the procedure in Section 5.0 (below) should be followed. |
| CI/PAC team    | CI or delegate/ PAC team                | Ensure Worktribe record is appropriately managed with evidence of funding retained.                                                                                          |

## 5.0 Procedure and Responsibilities where study is funded from internal Departmental or College Funds:

|   | Responsibility | Undertaken by  | Activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|---|----------------|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | CI             | CI or delegate | Identify the full costs of the study in a similar way as if seeking external funding and identify source from where the funds are coming                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 2 | CI             | CI or delegate | For NHS costs:<br>a) refer to the NHS research costs form (Appendix 1) to ensure proper identification of NHS research, support and treatment costs<br>b) consult with relevant departments and service providers (e.g., individual NHS Trusts) involved in the research, clinical trials units, pharmacies and obtain evidence of agreed research costs. NB. Each Trust needs to be asked because there may be differences in costs.<br>c) For CTIMP and Medical Device trials, seek a monitoring quote from <a href="mailto:rgosponsor@le.ac.uk">rgosponsor@le.ac.uk</a> . |
| 4 | CI             | CI or delegate | Seek confirmation from the appropriate Head of Department/ College office that the funds have been identified and secured. Evidence of this must be retained.                                                                                                                                                                                                                                                                                                                                                                                                                |

|                                                                                                                                                                  |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| SOP Reference                                                                                                                                                    | S-1040              |
| Version and Date                                                                                                                                                 | V4.0 September 2026 |
| Page Number                                                                                                                                                      | Page 5 of 6         |
| Paper copies of this document may not be the most recent version. The definitive version is held on the Research Governance Office <a href="#">SOP webpage</a> . |                     |

## 6.0 Development Record

The table below summarises the revisions introduced in this version. Full historical change records are available within archived SOP versions.

| Date      | Version number | Description of changes                                                                                                                                                                                                                                                                                               |
|-----------|----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Sept 2026 | 4.0            | <ul style="list-style-type: none"><li>• Minor updates to wording throughout to improve readability.</li><li>• Update to Appendix 1.</li><li>• Removal of full historical SOP development record; only the latest approved revision is now displayed, with prior versions retained in the document archive.</li></ul> |

|                                                                                                                                                                  |                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| SOP Reference                                                                                                                                                    | S-1040              |
| Version and Date                                                                                                                                                 | V4.0 September 2026 |
| Page Number                                                                                                                                                      | Page 6 of 6         |
| Paper copies of this document may not be the most recent version. The definitive version is held on the Research Governance Office <a href="#">SOP webpage</a> . |                     |