

APPENDIX 4

The RSO pre-award team can only carry out these checks effectively providing that sufficient time is allowed between receiving the completed proposal from the PI and the deadline for submission. Pls should take into account that there will be other proposals already in the RSO workflow and there may be a number for the same deadline. Once all checks have been completed the application may need to go to the Director of Finance and in some cases the Vice-Chancellor for final approval. If Dean level approval is the final level required proposals must still be confirmed for submission by the RSO to ensure these last checks are completed.

The Director of Finance/Vice-Chancellor approves and signs the proposal to confirm:

• That the proposal is consistent with

Post-Award Management

The day-to-day administration of research grants is carried out by the PI and their departments; the university advises that large and complex grants should include funding for a project administrator to assist with the workload. PIs are responsible for the financial management and integrity of their

Concordat to Support Research Integrity. Advice and guidance is provided by Research Services through central webpages and departmental contacts; training is arranged with partners across the university in all elements of grant management, some of which is also available online.

Pls must ensure that for each research grant they hold:

• They have read

Agresso transactions. Grants are also reviewed by Post-Award at points during the grant including, when approving funds for new or amended staff contracts and during invoice or claim preparation.

Research Integrity and Ethics

All research involving staff and students should be conducted in line with the principles set out in the Code of Practice and shall at all times be legal and transparent following the principles set out in the Concordat to Support Research Integrity. Responsibility and accountability for research integrity is placed with the PI or Supervisor. These responsibilities include ensuring that all (i) grant

Non-RSO Support

Researchers are able to access support from professional services across the university. A non-exhaustive signposting list is below but if in doubt please contact a member of Research Services for help.

Library

Disseminating Research and Open Access Research Data Management Academic Impact Training Scholarly resources

Procurement

Information Security

Information Security Training

Health & Safety

Appendix A Definitions

- 1. Research Projects
- 1.1 Definition

2.2 Accounting for a Teaching-based project

Teaching-based projects should normally be costed and accounted for in the same way as a research grants. Unbudgeted surpluses or deficits at the end of the project should be accounted for in accordance with the relevant Faculty policy.

3. Consultancy Projects

3.1 Definition

Consultancy can be defined as expert advice or testing, which draws upon and applies the expertise of members of staff. It is unlike research in that it does not have as its prime purpose the generation of new knowledge and there is no academic output, such as publications in refereed journals. Consultancy contracts are usually short-term, from a day to a few months, and generally involve extra work for existing staff members rather than employment of new staff.

At Lancaster there are three types of consultancy:

- a) Individual Consultancy
- b) University consultancy
- c) Wholly Private consultancy

3.1 a) Individual Consultancy

Individual Consultancy

- Projects and services arising from public tender processes or invitations
- Specific advice arising out of professional network affiliations
- Acting as an expert witness
- Laboratory and other testing of materials, devices, products or produce
- Data analysis

The distinction between research and consultancy is often a grey area. Some projects may be defined by the client as consultancy but the work is nonetheless sufficiently original that it meets the definition of research and the University can reasonably claim the contract within the various research returns made to HEFCE. In these cases the project/proposal should be considered as a project.

University Consultancy projects should normally be costed on ACP and accounted in accordance with the relevant Faculty policy.

3.1 b) Wholly Private Consultancy

If an individual staff member wishes to undertake wholly private consultancy that is not through the Consultancy Service then the consultancy will involve a contract directly between the client and the

Appendix B Costing Approval Matrix

EXTERNAL FUNDING APPROVAL LIMITS						
	Institutional Authority					
RESEARCH PROPOSALS	HoD *	Dean/Equivalent *	Dir. Of Finance *			
Research Councils (normal funding 80% of FEC)	£250k	£3M	All > £3M (**or which require matched funding and/or an institutional support letter to be approved by DoF and VC)			
UK Government Departments (normally expected to be 80% FEC or above)	£100k	£2M	> £2M **			
Private Sector (normally expected to be 80% FEC or above)	£100k	£1M	> £1M **			
Charities (FEC recovery varies. Rate for charities eligible for HEFCE funding = price + HEFCE contribution)	£100k	£1M	> £1M**			
European (H2020) (FEC recovery varies)	£100k	£2M	> £2M **			
Other Research Funders (FEC recovery varies)	£100k	£1M	> £1M **			
NON-RESEARCH PROPOSALS	HoD	Dean/Equivalent	Dir. Of Finance			
Non-research projects - All Funders	£100k	£2M	> £2M **			
* Research Institutes (RI)	PI's host department HoD approves up to above limits	Directors of RI approve as Dean equivalent (except where the Director is PI then PVC Research approves) up to above limits	DoF approves over above limits			

A new project may require re-approved before it can be accepted if the amount awarded differs to that originally requested and approved, or the funder requests a revised budget prior to awarding the project. Re-approval is required if:

1. fEC percentage recovery is reduced by more than 5%

- 2. Directly incurred costs are more than the amount awarded
- 3. DA staff costs, estates or indirect costs are reduced by more than 10%
- 4. The funding will be used for a different purpose than originally planned and approved, or other significant change

Proposals exceeding these limits must be authorised by the Vice-Chancellor (or Deputy Vice-Chancellor in his absence)

Contractual documentation relating to proposals authorised under the above schedule of delegations will normally be signed on behalf of the University by the following list of delegated authorities.

Senior Contract Officers	Contracts Manager or Head of Research Services	Director of Research and Enterprise	Director of Finance
£250 k (Green Route Contracts)	£500k	£5M	> £5M

Approved by:

Professor Mark ESmith, Vice Chancellor, 19/04/2016