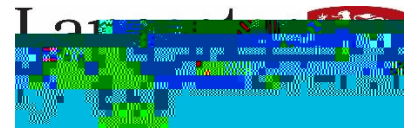


Research Grant Handbook

Research Administration Procedures

Research Services
Lancaster University
November 2017



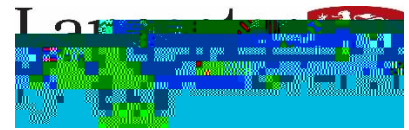
Proposal Development

All new proposals for externally funded research, regardless of value or funder, must be fully approved internally through the ACP costing system prior to submission to the funder. This requirement includes outline proposals and proposals submitted to the funder by another institution or organisation. The approval process at Lancaster has been set up specifically so that research proposals can be checked and reviewed to ensure that only high quality applications, which stand the best chance of success, are submitted by the university.

The university uses the Agresso ACP module as both a costing tool and for electronic approvals. Costings are prepared by RSO and Principal Investigators (PI) should automatically have access to the system to view costings once RSO have created them. ACP automatically distributes proposals for approval depending on the total amount of funding requested, current authorisation levels are shown in Appendix 2. Enquires about APC access should be directed to: rso-submissions@lancaster.ac.uk.

Information on ACP and user guides are available on the [RSO website](#). It is recommended that Principal Investigators request one-to-one training on ACP from Research Services.

PIs should engage with colleagues in RSO as early as possible in the application process so that a timetable can be agreed to support the application up to the funder deadline. Application and costing requests will be triaged by RSO to ensure project information is captured on systems for reporting and to ensure deadlines are met. Once a project has been fully costed



Responsibilities of the Principal Investigator

It is the responsibility of the Principal Investigator (PI) to ensure that their application is fully approved before it is submitted to the funder. This includes all necessary documents uploaded to ACP and available to the relevant approvers in a timely manner to allow them to be reviewed alongside the costing. It is important that RSO has the full application, including justification of resources, case for support, letters of support, impact statements etc. to allow the application to be checked for errors and for ACP to be verified against the application to the funder.

It is especially important that there is time to allow for any amendments that may be required during the approval/review process. This may include referring the funder's forms back to the PI for amendment so it is essential that sufficient time is allowed for this to happen.

It is the responsibility of the PI to ensure that the research will be conducted in line with the university ethics code of practice and that the ACP governance checklist is completed so that it can be reviewed by their HoD.

Responsibilities of Approvers

Within the hierarchy of approvals, different authorisers will be looking at proposals from different perspectives. What follows are some broad guidelines (not exhaustive) that are intended to help focus the issues around authorisation for submission to the funder.

The university needs to be aware of the full economic cost (fEC) and recovery rate to ensure that there is a balanced portfolio of projects undertaken in a sustainable manner. However, the fEC and the recovery rate of any research project is only one element of the project that is considered at the approval stage. Any one project will have a number of non-financial benefits to the university, for example, the project is important strategy, the funder or scheme may be particularly prestigious, there may be an advantageous collaboration or the project may lead to further research.

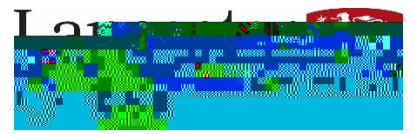
An Approvers Report is available in ACP which summarises the project costs and provides information to Approvers on the overall recovery rate, the proportion of directly incurred costs to income received and the estates and indirect costs due to the department.

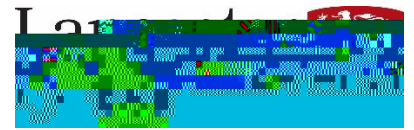
Head of Department approves the proposal to confirm:

- They are satisfied with the quality of the proposal
- The proposal is consistent with the departmental research strategy
- The project can be delivered within available departmental resources or that the need for additional resources has been raised and agreed by the Dean
- Any institutional commitment within departmental control is fully agreed
- The ethical risk has been assessed by the PI (on the governance tab of ACP) and is appropriate to the project

The Dean approves the proposal to confirm:

- That the proposal is consistent with the faculty research strategy
- That the project can be delivered within available faculty resources or that the need for additional resources has been discussed and agreed by UPRG or other appropriate group
- That any institutional commitment within faculty control is fully agreed





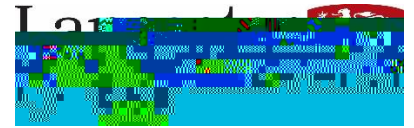
Awarded Set-up

Financial Approval

Following formal notification of award, approved details are entered against the ACP proposal record as an 'awarded' costing type. If any details of the proposal have changed significantly since the original proposal this is resent for approval using the same authorisation levels.

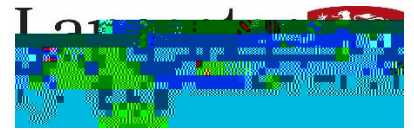
Due Diligence

At award a due diligence questionnaire is sent to some third parties to complete including a request for three years of financial accounts and evidence of policy documents. The responses are reviewed internally by a university assurance panel to consider the potential risks identified and any mitigating actions that have been agreed. An assessment on whether any preliminary due diligence needs to be completed at pre-award



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 research projects in accordance with the funder's terms and conditions, university regulations and the [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.

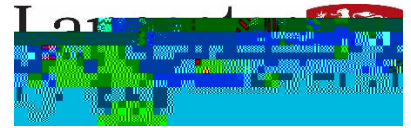


Research Integrity

All research involving staff and students should be conducted in line with the principles set out in the university's [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 milestones are met and reported, (ii) activities and expenditure are eligible within the funder terms and conditions, and (iii) research is conducted according to the approved ethical application. Any allegations of [research misconduct](#) are taken seriously and investigated appropriately.

Reporting

Internal and external reporting requirements are supported through a central research information management system ([Pure](#)), contact [RSO Systems](#) for access problems and help using Pure or any of the [research systems](#). Research Services supports the reporting of information for internal university, faculty or departmental strategic planning, staff promotions and external reporting such as [HESA](#) and [HEBCI](#).



Appendix 1 Definitions

1. Research Projects

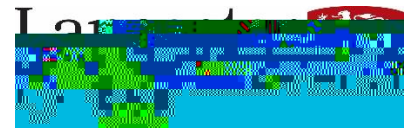
1.1 Definition

Research and experimental development (R&D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications.¹ It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship²; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.

The term R&D covers three activities: basic research, applied research and experimental development.

Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundation of phenomena and observable facts, without any particular application or use in view.

Applied research is also original investigation undertaken in order to acquire new knowledge. It is, however,



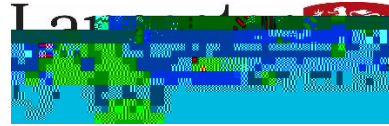
2.2 Accounting for a Teaching-based project

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,



Appendix 2 Costing Approval Matrix



Approved by:
Professor Mark E Smith, Vice Chancellor, 19/04/2016