

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.	RESEARCH AND INNOVATION					
8.1	Research Strategy	Senate	Research and Innovation Committee	Pro-Vice- Chancellor Research	Senate to consider and approve the Research Strategy, based on a recommendation from the Research and Innovation Committee. Research and Innovation Committee to oversee delivery against agreed priorities within the Strategy.	
8.2	Ethical Approval for Research	Senate	Research and Innovation Committee	Pro-Vice- Chancellor Research	Senate to have oversight of Research matters – to include the implementation of the University's arrangements for the ethical approval of research. Research Governance and Integrity Steering Committee to consider, approve and oversee policies, processes and arrangements governing the ethical approval of research activity. Research Governance Office to oversee the implementation of same. Filter Committees within the faculties to consider and categorise individual applications relating to the ethical approval of research and to approve those deemed as Category A – low risk. Applications deemed to be in Categories B and D to be escalated for approval to the University's Research Ethics Committee (UREC). Those in Category C to be escalated to the NHS Research Ethics Committee for external approval, with Research Governance Office undertaking sponsorship role, in line with regulatory requirements.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.3	Human Tissue Act (covering the use of human tissue samples in research)	Senate	Research and Innovation Committee	Pro-Vice- Chancellor Research (HT Licence Holder)	Senate to have oversight of Research matters - to include the implementation of the University's arrangements for compliance with the Human Tissue Act legislation. Research Governance and Integrity Steering Committee to consider, approve and oversee policies, procedures and arrangements governing the University's compliance with the Human Tissue Act. Research Governance Office to oversee the implementation of same. Filter Committees within the faculties to consider and categorise individual applications relating to the use of human tissue. Applications deemed to be in Category D to be escalated for approval to the University's Research Ethics Committee (UREC). Those in Category C to be escalated to the NHS Research Ethics Committee for external approval. The Human Tissue Act Working Group, reporting to Research Governance and Integrity Steering Committee, to meet twice a year to review and resolve matters associated with the University's licence from the Human Tissue Authority, including revisions to standard operating procedures.	
8.4	Research Integrity	Senate	Research and Innovation Committee	Pro-Vice- Chancellor Research	Senate to have oversight of Research matters - to include the Research Integrity Activity Annual Statement/Annual Statement of Compliance with the Concordat to Support Research Integrity. Research Governance and Integrity Steering Committee to consider, approve and oversee policies, procedures and arrangements governing research integrity. Research Governance Office to oversee the implementation of same.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.5	Animal Scientific Procedures Act	Senate	Research and Innovation Committee	Pro-Vice-Chancellor Research (HT Licence Holder)	Senate to have oversight of Research matters - to include the implementation of the University's arrangements for compliance with the Animal Scientific Procedures Act. Research Governance and Integrity Steering Committee to consider, approve and oversee policies, procedures and arrangements governing the University's compliance with the Act. Animal Welfare Ethical Review Body (AWERB) and Department of Health Animal Welfare Inspector to approve all animal licence applications/ amendments prior to activity commencing, in line with nationally agreed processes.	
8.6	Approval of Research policies	Senate	Research and Innovation Committee	Pro-Vice-Chancellor Research	Senate to consider and approve research related policies, based on a recommendation from the Research and Innovation Committee.	
8.7	Research Misconduct – Policies and Procedures	Senate	Research and Innovation Committee / Research Governance and Integrity Steering Committee	Pro-Vice-Chancellor Research	Senate to consider and approve the policies and procedures underpinning Research Misconduct. Approval to be based on a recommendation from the Research and Innovation Committee, informed by a report from the Research Governance and Integrity Steering Committee.	
8.8	Research Misconduct – Investigations	Deputy Vice-Chancellor	Pro-Vice-Chancellor Research	Pro-Vice-Chancellor Research	Allegations to be made to the Named Person (Deputy Vice-Chancellor) who will then determine the route of any investigation, guided by the procedures.	
8.9	Research Governance	Council	Senate	Pro-Vice-Chancellor Research	Council to receive an annual report, providing the requisite assurances on the University's arrangements for research governance – to include those referenced in 8.2 to 8.8 above.	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.10	Research Excellence Framework (REF)	Vice- Chancellor	Senate / Research and Innovation Committee	Pro-Vice- Chancellor Research	Vice-Chancellor to approve the REF Return for submission on behalf of the institution, in consultation with Senate. The REF Steering Committee, reporting to the Research and Innovation Committee, to provide oversight in the development of the next REF Code of Practice.	
8.11	The Higher Education Business and Community Interaction Survey	Vice- Chancellor	Research and Innovation Committee	Pro-Vice- Chancellor Research	Vice-Chancellor to approve the Higher Education Business and Community Interaction Survey for submission on behalf of the institution, informed by discussion at a meeting of the Research and Innovation Committee	

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.12	Approval of applications for research grants and contracts	Pro-Vice-Chancellor Research	Authorised Officers (depending on level of award)	Pro-Vice-Chancellor Research	Applications to be approved via the Pre-Award Bid Approval and Bid Submission Process in the appropriate research management system. Where the Funder stipulates that an application be signed off by a specific individual, the Funder's stipulation for approval to be followed. In the absence of such stipulations, the following Authorised Officers to approve research grant applications: <u>Bid Approval</u> • PVC Research • Director of Research and Innovation • Deputy Director of Research • PVC and Executive Dean of Faculty • Associate Dean for Research and Innovation • Head of School • Research Director <u>Bid Submission</u> • PVC Research • Director of Research and Innovation • Deputy Director of Research • Head of Research Development • Research Development Managers As part of the Bid Approval Process, any waiver of, or reduction in, overheads must be approved in writing by both the relevant Associate Dean for Research and Innovation <u>and</u> the PVC Research. Any University match funding must be approved by the Associate Dean for Research and Innovation at the Bid Development stage.	Limits for Approval (Bid Submission): < £1m Research Development Managers or Head of Research Development £1m - £5m Deputy Director of Research/ Director of Research and Innovation (in Deputy Director's absence) > £5m PVC Research bringing to SLT for information

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
8.13	Acceptance of Research Grants and Contracts	Pro-Vice-Chancellor Research	Authorised Officers (depending on level of award)	Pro-Vice-Chancellor Research	Where Funder stipulates that a contract be signed off by a specific individual, the Funder's stipulation for approval to be followed. Where not, the following approval delegations to be followed: Following Authorised Officers authorised in the sign off of research contracts and acceptance of research awards: • Head of Research Management – < £1m • Deputy Director of Research/Director of Research and Innovation - £1m to £5m • PVC Research, in consultation with the SLT > £5m	Head of Research Management – < £1m Deputy Director of Research/ Director of Research and Innovation (in Deputy Director's absence) - £1m to £5m PVC Research, in consultation with the SLT > £5m
8.14	Review and acceptance of legal and contractual documents relating to research and impact	Pro-Vice-Chancellor Research	Director of Research and Innovation	Pro-Vice-Chancellor Research	PVC/Director of Research and Innovation (or stated nominee) to sign legal and contractual documents relating to research and innovation, to include non-disclosure agreements, collaborative research agreements, material transfer agreements and consultancy contracts.	