

PROCEDURE FOR SIGNING OFF APPLICATIONS TO EXTERNAL FUNDING BODIES FOR RESEARCH PROJECTS OR RESEARCH LEAVE

As the number of research grant applications increases, it is important that we have a clear procedure for submitting and recording the applications. This will enable us to:

- ensure that members of staff receive assistance to submit high quality applications within appropriate timescales;
- ensure that the appropriate people within the institution are aware that an application is being made;
- ensure that the resource and other implications have been considered;
- record the applications centrally for purposes of reporting and monitoring.

Members of staff or external applicants submitting applications to external funding bodies for grants for research projects, research leave or fellowships to be held at York St John University should discuss their applications with their line manager at an early stage and gain *prima facie* agreement from them, their University Head of Research and Head of School before proceeding further. YSJU staff and students can identify funding sources through IDOX Grantfinder and IDOX Research Connect databases which the University subscribes to. To register to use these systems, please e-mail the Research Development Manager (i.rule@yorksi.ac.uk)

Any bid involving an external partner must ensure that the partner organisation is one with which the University would wish to collaborate. In many cases, a due diligence review may have been already completed, but for new partners this must be carried out with separate documentation completed by the School with the assistance of the Finance Directorate. This is then submitted to the Due Diligence Committee for approval.

Any agreement relating to intellectual property rights within a bid, or in a contract arising from a successful bid, should be checked to ensure it conforms with the University's [Intellectual Property Policy](#)

All bids can benefit from peer review, and it is recommended that this is done during the development of the bid. Finalised bids must be approved by the relevant University Senior Accountant, University Head of Research and Head of School, and a copy of the bid and bid approval form must be supplied to the Academic Development Directorate.

All bids of £10,000 or more must be approved by the DVC (this amount, and others in this paragraph, refers to the total bid or the YSJU component of collaborative bids, except where YSJU is the lead organisation for a collaborative bid, in which case the total amount applies). Approval may take some time and **bids should be submitted to the DVC a minimum of ten working days before their submission deadline**. In accordance with the University's [Financial Regulations](#), in addition to the DVC's approval, bids for £25,000, or more, must also be signed off by the Executive Director of Finance, bids for £100,000 or more, require sign off by the Vice Chancellor and bids of £500,000 or more require sign off by two Governors. Applicants are advised to liaise with senior staff's PAs to ensure that they are available when needed for approval/sign off of bids. Applications to Research Councils, the British Academy and Leverhulme Trust are now made electronically via the Je-S or E-Gap systems. Sufficient time should be allowed for all these procedures to be completed and, if necessary, for the bid to be revised before submission.

N.B. Applications for research leave that is not externally funded are handled under a separate procedure and should be discussed with the applicant's line manager.




FORM FOR APPROVAL OF APPLICATIONS TO EXTERNAL FUNDING BODIES FOR RESEARCH GRANTS

Name of applicant: Dr Catherine Heinemeyer

School/Department: School of Performance and Media Production

Name of grant-awarding body: Wellcome Trust

Title of bid: THINGS AS THEY ARE: Art as conversation about adolescent distress

Have the financial implications been discussed and noted by the Finance Office?	Yes	Signature of University Senior Accountant: 
If the project involves an external partner, has due diligence been completed	Not applicable	Signature of the Chair of Due Diligence Committee
Is the applicant's line manager content for the application to be submitted?	Yes	Signature of line manager:
Is the applicant's University Head of Research content for the application to be submitted? ¹	Yes	Signature of University Head of Research: 
Is the Head of School content for the application to be submitted?	Yes	Signature of Head of School: 
Is the bid for £10,000, or more? If 'yes', approval by the Deputy Vice Chancellor is required. Allow 10 working days for this	Yes	Signature of Deputy VC: <i>Approved by email</i> <i>18.9.17</i>
Is the bid for £25,000, or more? If 'yes', sign off by the Executive Director of Finance is required in addition to the DVC's approval.	Yes	Signature of Executive Director of Finance: <i>Nicola Eaton</i>
Is the bid for £100,000, or more? If 'yes', sign off by the Vice Chancellor is required in addition to the above approvals.	No	Signature of VC:
Is the bid for £500,000, or more? If 'yes', sign off by two Governors is required in	No	Signatures of Governors: 1.

¹ For Service Departments e.g. ILS the Director may sign in place of both UHoR and Head of School.

addition to the above approvals.		2.
Are there any human resource implications, e.g. a need for replacement staff where there is research leave during the funded research project? If so, have these been discussed with the Head of School?		No
Does the proposed research need ethical approval? If so, has it been approved by the appropriate Cross School Research Ethics Committee?		Yes – approval granted
Is peer review required by the funding body		No
If 'Yes' to the above, who peer reviewed this bid?		
Has a copy of the application been lodged with the Academic Development Directorate?		Yes

Overall responsibility for approving the application rests with the Head of School. This form should be completed and signed by all relevant people (above) before the application is submitted. Copies of the bid and form should be filed in both the School and ADD.