# Acceptance of Funding for External Research and Enterprise Activities (reputational or ethical)

**Document Details**

|  |  |
| --- | --- |
| Document Reference | **Acceptance of Funding for External Research and Enterprise Activities (reputational or ethical)** |
| Document status | **Current** |
| Document owner | Dion Williams |
| Review period | 2 years |
| Date of approval | Research Committee - December 2022 |
| Date of next review | November 2024 |
| Version number | 1 |

**Version control**

|  |  |  |
| --- | --- | --- |
| **Version** | **Date** | Description of changes and name and job title of person  responsible for making changes |
|  |  |  |

**Referenced policies and documents**

# [Research Integrity and Ethics: Guide to related policies and procedures](https://www.lancaster.ac.uk/media/lancaster-university/content-assets/documents/res/research-governance--ethics/LU_Ethics_integrity_complianceprocesses_061222.docx)

# [Frascati Manual](https://read.oecd-ilibrary.org/science-and-technology/frascati-manual-2015_9789264239012-en#page1),

* Ethical Giving;
* Procurement and supplier relationships;
* Research ethics policy
* Collaborative partnerships (academic)
* Financial Regulations

## **Research and Enterprise - Acceptance of funding for external research and enterprise activities (reputational or ethical): Policy & Due Diligence**

The University’s objectives as set out in its Charter are to ‘advance knowledge, wisdom and understanding by teaching and research and by the example and influence of its corporate life’. The University as an ‘exempt charity’ must observe the requirements of charity law and other relevant legislation in relation to the receipt and expenditure of funds. Lancaster University is committed to conducting its research and enterprise relationships in an ethical manner and in accordance with relevant regulations. This includes ensuring that due diligence is observed when assessing whether or not to accept external funding or establish specific relationships with project partners. This policy is intended as a guide to staff in their dealings with external funders and to protect the interests of all members of the University in accepting such funding.

## 1. Activities in scope of this policy

1.1 Activities in scope of this policy include:

* Research and experimental development (R & D) comprise creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge. This is the summary definition according to the [Frascati Manual](https://read.oecd-ilibrary.org/science-and-technology/frascati-manual-2015_9789264239012-en#page1), which includes a full definition of research including basic, applied and experimental (section 2.2).
* Enterprise activities include enterprise and innovation projects through engagement with external organisations.
* [**Consultancy**](https://www.lancaster.ac.uk/research/research-enterprise-services/consultancy/) defined as **‘the provision of expert advice based on existing knowledge. Unlike research, the purpose of undertaking consultancy is not to create new original knowledge, although new information based on the application of expertise to a client’s challenge or problem may result from the work.’**

## 2. University Policy Statement

2.1 Ultimate responsibility regarding the acceptance and refusal of funding rests with the University’s governing body, the Council. In practice, staff carry out the day-to-day responsibilities in this area, in line with delegated authority from the Council.

2.2 In considering whether or not external funding should be accepted the following issues shall be considered by principal investigators and professional services staff in Research and Enterprise Services in liaison with Heads of Department, Directors of Research Institutes and Deans as necessary:

2.3 If the association with the funder or its subsidiaries or associates is likely to bring the University name into disrepute.

2.4 If there is a possibility that the funder (or associated individuals) might be on official sanction lists, associated with illegal activities under the Proceeds of Crime Act, the Bribery Act or anti-terror financing legislation, whether in the UK or under the jurisdiction of the funder’s country.

2.5 If the association with the funder is likely to unduly damage any existing University relationships or deter others from supporting or working with the University in the future.

2.6 If the likely motives of the funder are in accord with the University’s values and our mission to be a globally significant university that takes seriously its economic and social responsibilities.

2.7 If there are any restrictions on the dissemination and exploitation of the results of the funded activity or any other onerous conditions and if the purpose of such restrictions will likely lead to any ethical issues and challenges.

2.8 The above-mentioned issues will be included in the University’s risk assessment for research funding applications through the ACP governance checklist or through enterprise and consultancy approval processes.

2.9 Where concerns are raised appropriate due diligence will be conducted. This will include consultation with the relevant head of department/faculty dean, before cases are referred to the University Research and Enterprise Due Diligence Panel (REDD Panel). The Panel will follow the REDD process [link to document] and will consider on the balance of probabilities, that external funding to the University to support research and enterprise activities will have no negative impacts either financially, operationally or reputationally. Where impacts are considered higher risk these decisions will be escalated through the due diligence panel process.

2.10 Other University related policies include the policy on ethical giving; procurement and supplier relationships; research ethics policy and the collaborative partnerships (academic). These are set out in the Research Integrity and Ethics: [Guide to related policies and procedures](https://www.lancaster.ac.uk/media/lancaster-university/content-assets/documents/res/research-governance--ethics/LU_Ethics_integrity_complianceprocesses_061222.docx) .