

APPROVAL & AUTHORISATION POLICY ROP/02-13

<b>Policy Title</b>	<b>FACULTY APPROVAL AND COLLEGE AUTHORISATION OF RESEARCH PROPOSALS AND RELATED AGREEMENTS</b>
<b>Version</b>	15
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<b>Policy Owner</b>	Director of the Research Office
<b>Revision Timetable / Process</b>	Regular review of the policy is required to ensure it evolves to support the changing funder portfolio and College needs. The policy will be reviewed annually.

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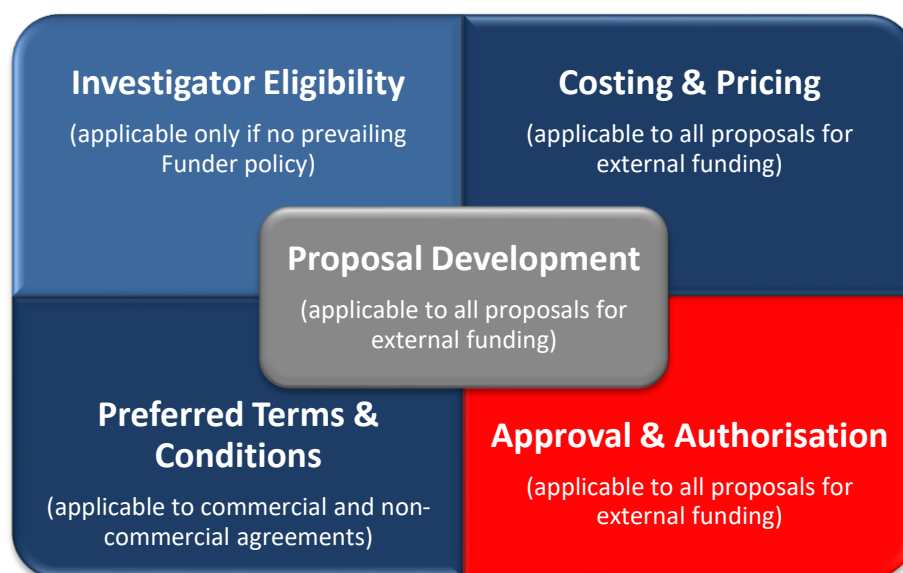
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# FACULTY APPROVAL AND COLLEGE AUTHORISATION OF RESEARCH PROPOSALS AND RELATED AGREEMENTS

## 1. INTRODUCTION

### 1.1 Description

**Application:** This policy applies to all proposals for externally funded research and research-related agreements to be undertaken by the College including, but not limited to, all externally-funded research grants and contracts, collaborative agreements, consortium agreements, memoranda of understanding, confidentiality agreements and material transfer agreements.<sup>1</sup> The policy is a component of the Research Office pre-award policy framework illustrated below:



**Exceptions:** Research proposals and agreements to be administered through restricted N codes or F, G or I codes— these are subject to Faculty Finance policies and procedures  
Research proposals and agreements which include non-research activities (such as the provision of education) should be considered in consultation with the appropriate College officer(s).  
Applications for approval of exceptions (other than the above) to this policy should be made through the Director of the Research Office.

### 1.2 Aims

Devolution of operational pre-award responsibilities and formalities (including research contracting) to Faculties requires the formal allocation of Faculty Approval responsibilities to established roles (outlined in Appendix I and II) and adherence to the [College's Preferred Terms and Conditions Policy](#). Therefore the aims of this policy are to:

- Set out the pre-award approval responsibilities which have been devolved to Faculties (Appendix I) with a view to empowering individuals, engendering responsibility, and establishing lines of accountability.
- Detail the subsequent delegated authorisation process (College Authorisation) for proposals for external research funding and related research agreements to provide clarity of authorisation remits (Appendix II and III).
- Provide a clear pathway for approval and authorisation of substantial amendments to research related agreements and research protocols.

## 2. PRINCIPLES GOVERNING FACULTY APPROVAL AND COLLEGE AUTHORISATION OF RESEARCH PROPOSALS AND RELATED AGREEMENTS

<sup>1</sup> Research activity is as defined in [What counts as Research?](#)

- 2.1 The principles and policies governing the development of research proposals (grant applications and research contracts) and related agreements are set out in the College [Proposal Development and Bid Management Policy](#). Additional proposal development guidance is available on the Research Office website: [Funder Information](#), [Preparing a Proposal](#) (including funder specific 'Golden Rules') and [Costing & Pricing](#).
- 2.2 The terms and conditions of research funding and related agreements are governed by the College's [Preferred Terms and Conditions Policy](#). The policy sets out the preferred contractual position for the core terms in a research agreement (e.g. publication, intellectual property, payment terms etc.); any allowed deviations for which authority for acceptance has been delegated to the Faculty Research Services / Faculty Contract teams, and the escalation route for authorisation of terms outside of this framework. The Preferred Terms and Conditions apply equally to non-commercial and commercial funding (grants and contracts), collaborative activities and unfunded projects (where applicable). Exceptions may apply where terms have been agreed with specific Funders by the appropriate College Authority, or where standard (non-negotiable) core grant terms are in place (Standard Research Council terms and conditions).
- 2.3 The President is the recognised Institutional Authority and Signatory for research applications / proposals and research-related agreements; s/he has delegated Faculty Approval and College Authorisation responsibility through both the Research Office and Faculties within the framework of the approval and authorisation limits (Appendix I and II).
- 2.4 Faculty Approval and College Authorisation is required prior to applying for research funding or executing research related agreements, and must be reaffirmed prior to:
  - substantial amendments to a research agreement where these are likely to affect, to a significant degree, the financial recovery and/or period of the activity e.g. subcontracted activities (not identified in original application/agreement), supplements, time extensions / early termination.
  - amendments to a Clinical Trial protocol or any other supporting documentation that is likely to affect to a significant degree; the safety or physical or mental integrity of the subjects in any clinical trial; the scientific value of the trial; the conduct or management of the trial; or the quality or safety of any investigational medicinal product used in the trial. All substantial amendments to clinical protocols should be notified to the Medicines and Healthcare products Regulatory Agency (MHRA) and [Research Ethics Committee](#) that originally gave a favourable opinion (the main ICREC or SETREC) using a notice of substantial amendment.
- 2.5 Only those individuals who have formally and explicitly assigned responsibilities may exercise approval or authorisation (as detailed in Appendix II and the Preferred Terms and Conditions Policy).
- 2.6 The College does not sign powers of attorney for research and research related agreements.

## FACULTY APPROVAL

- 2.6 Faculty Approval is the process by which a Faculty confirms due consideration of all necessary policies and requirements in the scoping and development of the proposal (or related agreement) and furthermore, that all relevant parties have been consulted and are in agreement with the following:
  - a. that the activity has been appropriately designated as research and provides public benefit.
  - b. that the proposed research is in keeping with the College's strategic plans and Faculty research strategy (and international where relevant)
  - c. that the proposed research does not conflict with the College's [Research Codes of Practice](#) including vetoes on research funding from tobacco industries, the use of third party crowdfunding platforms or classified research.
  - d. that any matters or concerns which could affect (or be perceived to affect) the probity of the research proposal or related third party relationship (such as research with potential for misuse, allegations of unethical practices by Funders or Research Collaborators or considered otherwise considered politically sensitive) have been established and managed in accordance with the relevant policy and referral procedure, e.g. the College's [Ethics Code](#) and Relationship Review Policy that any potential conflicts of interest relating to the proposed research have been identified and appropriately considered within the context of the [Conflict of Interest Policy](#) and reporting requirements (such as the [National Institutes of Health Financial Conflict of Interest Policy](#)). Issues must be duly documented and referred where necessary.
  - e. that regulatory requirements for research using animals or for research using humans (their tissues or data) have been considered and satisfied.

- f. that the capacity, resource and infrastructure implications have been properly considered and planned for, including referral of;
    - projects requiring significant institutional commitment (in terms of financial / intellectual value and duration) to Faculty Finance
    - capital investment projects are undertaken in accordance with the procedures laid out in the [Estates Development and Projects procedures](#)
  - g. that the Full Economic Cost of research has been established in accordance with the College's [Costing policy](#) and priced in accordance with College, Faculty and (for regulated non-commercial funders) Funder pricing policies and that the recovery (i.e. price as a % of cost) is acceptable to all internal parties
  - h. with the terms and conditions of funding (financial and contractual); and that deviations from the [College's Preferred Terms and Conditions Policy](#) (e.g. payment terms, ownership of intellectual property) have been referred appropriately and approved by the relevant College Officer detailed in that policy.
  - i. that third party involvement has been designated as research collaboration or research service provision in accordance with VAT guidance, and relevant third party agreement requirements identified.
- 2.7 At the highest level, Faculty Approval responsibilities are delegated within Faculties as described in Appendix I. While elements of the approval process are described as distinct, there are significant overlaps and interdependencies between all elements. Approval is not a sequential process. Designated approvers within Academic Departments, Faculty Research Services / Faculty Contracts teams, Joint Research Office, etc. should consult throughout the process. Approvers should be notified and consulted in parallel whenever possible.

## COLLEGE AUTHORISATION

- 2.9 College Authorisation (to submit or execute a research proposal or related agreement) is delegated to Faculty Research Services / Faculty Contracts team (or equivalent) within the constraints of the delegated authority outlined in Appendix II and the Preferred Terms and Conditions Policy. College Authorisation is confirmation by the delegated College Signatory that (using reasonable endeavours):
- the proposed activity does not pose unreasonable reputational or financial risk to the College, or where risk has been established, this has been properly assessed through a formal risk-benefit analysis and found to be acceptable with reference to the relevant policy referral procedures (e.g. [Ethics Code](#), [Relationship Review Policy](#), [External Interests Policy](#) etc.)
  - the proposal / agreement has been developed by the relevant parties in accordance with the following policies: [Proposal Development and Bid Management Policy](#), [Investigator Eligibility Policy](#), [Costing and Pricing Policy](#), and [Preferred Terms and Conditions Policy](#).
- 2.10 College Authorisation must only be given after completion of Faculty Approval.
- 2.11 College Authorisation Signatories are listed on the [Research Office Website](#).
- 2.12 College Authorisation informs the Funder that internal approval to submit (or execute) the application (or agreement) has been granted.<sup>2</sup>

## 3. FACULTY OBLIGATIONS

As determined by the College, the Faculties shall ensure that:

### FACULTY APPROVAL

- 3.1 Faculty Approval is undertaken:
- in line with the principles outlined in this document, its appendices and with reference to specified policies as relevant
  - at a level appropriate to the type of agreement

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<sup>2</sup> The Institutional Signatory for external research related agreements is often limited by the Funder to a prescribed number of recognised individuals.

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- 3.2 Faculty Approval is only delegated to staff with the skill and knowledge necessary for the effective exercise of the authority outlined in Appendix I, namely a level of knowledge appropriate to their role within the Faculty Approval process e.g. the applicable College procedures, processes and systems; the terms and conditions of funding; and any externally imposed conditions or regulations and guidelines.
- 3.3 Delegation to the Academic Department is firstly to the Head of Department supported by their Senior Administrative Officer e.g. the Departmental Operations Manager or equivalent. Delegation to Faculty Research Services is firstly to the Faculty Research Services or Contracts Manager or other senior research service / contracts officer. Subsequent delegation must conform to obligation 3.2
- 3.3 Processes are in place so that those in approval roles (e.g. Head of Departments, Research Services Managers or their delegated representatives) understand and accept their responsibilities as outlined in Appendix I.
- 3.4 Faculty Approval hierarchies determine the appropriate lines of accountability and responsibility for assessing and approving agreements so that the outcome is the result of an explicit process of informed decision-making, and that exceptions are reported appropriately.
- 3.5 Heads of Department, Principal Investigators, Academic Departmental Managers, or any other academic department staff are obliged to notify Faculty Research Services of any matters or concerns they are aware of that could affect (or be perceived to affect) the probity of a research proposal or related third party relationship / agreement, e.g. potential conflicts of interest, research with potential for misuse, knowledge of unethical practice allegations etc.
- 3.6 Head of Department approval constitutes commitment from the Department / Division that any under-recovery will be absorbed within the departmental research portfolio, without subsidy from central funds i.e. the Academic Department is ultimately responsible for under-recovery (and similarly for any overspending).
- 3.7 Faculty Approval is undertaken at an organisational level at least one removed from the Principal Investigator (e.g. where the Head of Department is also the Principal Investigator, then approval should be escalated to the Faculty Dean or their Deputy).
- 3.8 Approval hierarchies include, as a minimum, the Head of Department / Division (or their delegated representative) and Faculty Research Services Manager or equivalent.
- 3.9 Inter-departmental / divisional / Faculty bids receive approval from all parties (i.e. all participants' approval processes must be completed before submission for College Authorisation) and that this is co-ordinated by the lead Faculty.<sup>3</sup>
- 3.10 Approval processes should be completed before College Authorisation is sought.

## **COLLEGE AUTHORISATION**

- 3.11 Prior to College Authorisation, the designated College Authority shall use reasonable endeavours to ensure that the proposal / agreement has been developed in accordance with the principles set out within this policy (and the related policies specified in Section 2), and will withhold such approval until they are satisfied this is the case.
- 3.12 Faculties are required to notify the details of any change to their College signatories to the Research Office.

## **4. OTHER OBLIGATIONS**

As determined by the College, central departments shall have the following responsibilities:


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<sup>3</sup> The Faculty approval hierarchy is supported by InfoEd automatically for single department proposal. Inter-departmental/Faculty approval is not fully supported by InfoEd: Collaborating Head of Departments / Groups are notified for information only, not approval, therefore requiring manual confirmation of their approval.

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- 4.1 The Research Office will authorise those bids if and when these specifically require a central authorisation; however this obligation will not negate the need for a lead Faculty or lead Principal Investigator or Bid Manager.
- 4.2 The Research Office will notify Faculties of any amendments to the College Approval and Authorisation Policy.
- 4.3 Corporate Partnerships should demonstrate procedures which ensure appropriate due diligence for research-related agreements for which they have delegated College Authorisation. These procedures should ensure all such agreements / decisions are recorded and the retention of original copies within a central repository.
- 4.4 The Research Office, on behalf of the Vice Provost (Research), is responsible for the processes governing the selection of bids to funding schemes that have restricted submission i.e. institutional quotas.

## APPENDIX I: FACULTY APPROVAL RESPONSIBILITIES

Category	Faculty Approval Responsibilities	Responsible Party (Approver)
Ethical and Regulatory Approvals	That any matters or concerns which could affect (or be perceived to affect) the probity of the research proposal or related third party relationship (such as research with potential for misuse, allegations of unethical practices by Funders or Research Collaborators or otherwise considered politically sensitive) have been considered in accordance with the relevant College policy and referral procedure (such as the College's <a href="#">Ethics Code and Relationship Review Policy</a> ).	Academic Department
	That any potential conflicts of interest relating to the proposed research have been identified and appropriately considered within the context of the College <a href="#">External Interests</a> Policy, and with due regard to Funders' Conflict of Interest policies and reporting requirements, and referred where necessary.	
	That the <a href="#">College Animal Use policy</a> and regulatory requirements for research using animals have been considered and satisfied.	
	That any proposed research has been considered within the context of <a href="#">College's Health and Safety Policies</a>	
	That the College policy for research involving humans, their tissue and/or data, and the relevant approvals and regulatory requirements have been considered and/or met/obtained, such as: Registration with the <a href="https://www.imperial.ac.uk/research-and-innovation/research-office/research-governance-and-integrity/">https://www.imperial.ac.uk/research-and-innovation/research-office/research-governance-and-integrity/</a> ; Insurance Cover; Sponsorship Agreement, Clinical Trial Authorisation from the Medicines and Health care Products Regulatory Agency (MHRA), EudraCT database registration, applicable <a href="#">Ethics Approval</a> , Research Site Confirmation of Capacity and Capability, <a href="#">General Data Protection Regulations</a> , Mental Capacity Act compliance, and Human Tissue Authority (HTA) licensing requirements.	Research Governance and Integrity Team (Research Office)
	That new Funders have been assessed for both financial and reputational integrity, and where risks have been identified, these have been documented and referred as prescribed by the College's <a href="#">Relationship Review Policy</a> .	Faculty Research Services / Faculty Contracts / JRO
	That the proposed activity constitutes research. Only activities satisfying the following criteria should be classified as research. The activity must (a) meet the definition of research which at its simplest is defined as a process of investigation leading to new insights effectively shared (see <a href="#">What counts as Research?</a> ); be undertaken to further the charitable aims of the College and be conducted for the public benefit and not solely for self-interest or for private or commercial consumption.	
	That the proposed research does not conflict with the College's <a href="#">Research Codes of Practice</a> including vetoes on research funding from tobacco industries, the use of third party crowdfunding platforms or classified research.	
 Research Strategy	That the proposed research is in line with College and Faculty Research Strategy (as appropriate) and is at the expected level of excellence	Academic Department
	That research involving non-UK partners is also in line with the College's Strategy i.e. <ul style="list-style-type: none"> <li>• That the proposed activity will not cause the College to act in a manner which is inconsistent with UK legislation;</li> <li>• That the proposed activity does not conflict with existing or potential future partnerships of a similar nature and / or within the same geographical region;</li> <li>• That projects involving any of the following are referred to <a href="#">International Relations Office</a>: (1) formation of a relationship (excluding joint research projects) with an overseas university or research institute, European Institute of Innovation and Technology (EIT) Knowledge and</li> </ul>	





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Category	Faculty Approval Responsibilities	Responsible Party (Approver)
	Innovation Communities scheme, should be referred to the International Relations Office; (2) the creation of a physical presence, such as an Institute, Research Centre etc. abroad; (3) clauses on UG/PGT/PGR exchanges, CPD or other educational provision abroad.	
	That the Economic and Societal Impact <sup>4</sup> of the proposed research is described if required by the terms of application.	
Capacity & Infrastructure	That staff capacity has been adequately addressed prior to any commitment being made to a funding agency including: <ul style="list-style-type: none"> <li>• capacity of the Principal and Co-Investigators to undertake the activity relative to other priorities and commitments;</li> <li>• capacity of any named researcher to undertake the activity relative to other priorities and commitments;</li> </ul>	Academic Department
	That resource and infrastructure implications have been adequately addressed prior to any commitment being made to a funder including that: <ul style="list-style-type: none"> <li>• all staff resources are identified at the appropriate level commensurate with the skill base required;</li> <li>• all non-staff resources are identified (consumables, travel, new equipment etc.) to enable the project to be undertaken;</li> <li>• any internal resources (e.g. space, facilities etc.) which are required to undertake the project are accessible and available and that responsible owners (such as Facility Managers) have been consulted;</li> <li>• projects involving capital investment are undertaken in accordance with the procedures laid out in the <a href="#">Estates Development and Projects procedures</a></li> <li>• projects requiring significant institutional commitment (in terms of financial / intellectual value and duration) during and / or after the project are referred to Faculty Finance as a minimum requirement. Significant institutional commitment encompasses: any commitment to staff costs (in part or full) not met directly by the project; projects in excess of 5 years; projects requiring on-going contribution past project end date.</li> <li>• external resources within other HEIs, NHS Trusts, other UK and non-UK research partners etc. have been similarly verified for accessibility and appropriately agreed;</li> <li>• College competition / formal tendering requirements and EU tendering requirements have been appropriately considered and that the Principal Investigator is aware of their obligations</li> <li>• the Justification of Resources (or Business case) adequately addresses the requested resources.</li> </ul>	Academic Department


<sup>4</sup> Economic and Societal impact covers a broad range of areas and benefits. The Research Councils description is: "The demonstrable contribution that excellent research makes to society and the economy. These accords with the royal charters of the councils and with HM Treasury guidance on the appraisal of economic impact. Impact embraces all the extremely diverse ways in which research-related knowledge and skills benefit individuals, organisations and nations by fostering global economic performance, and specifically the economic competitiveness of the UK; increasing the effectiveness of public services and policy; and enhancing quality of life, health and creative output."



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	<p>That the identified resources (e.g. staff, non-staff, internal and external facilities) necessary for the research have been costed in accordance with College's Costing Policy (ROP/01).</p> <p>That the recovery (Price as a % of Cost) is acceptable to the Department(s) / Division(s) and Faculty.</p> <p>That the salary costs of externally (and fully) funded Fellows are excluded from proposals to public funders for concurrent periods (The College must not over-recover the salary costs of its staff from public / charitable sources).</p>	<p align="center">Academic Department</p>
	<p>That pricing of the project is in line with the College (ROP/01), Faculty and Funder pricing policies i.e.</p> <ul style="list-style-type: none"> <li>That the price is in line with any prescribed pricing policy or, where the price is open to negotiation, that it is informed by market value i.e. the price is based on market analysis including (but not restricted to) Funder demand, competition, competitive advantage (i.e. reputation of Imperial / Department / Research Group or any differentiating elements in the service to be provided and / or any indirect benefits and opportunity costs in undertaking research);</li> <li>That where price is below FEC (unless in accordance with a prescribed funder pricing policy that has been accepted by the College), the project is supported by a strong rationale that shows the link between the activity and the core strategy of the university and is in line with Faculty Pricing Policy;</li> </ul> <p>That sub-project budgets are adequately financed (costed and priced) and have been appropriately approved by the collaborating Academic Department(s)</p> <p>That partner budgets are adequately financed (costed and priced) and have been appropriately authorised by the Partner Institution.</p>	<p align="center">Faculty Research Services / Faculty Contracts / Joint Research Office</p>
	<p>That the funding application is in line with eligibility criteria as defined by the Funder, or in the absence of these, the College Investigator Eligibility Policy.</p> <p>That the financial information submitted to the Funder is in accordance with the terms and conditions of the application; for example, different funders have adopted varying indexation policies e.g. the budgets submitted to Research Councils must be based on current levels and not indexed for pay awards (this is neither the FEC nor the Price).</p> <p>That requested resources have been adequately justified.</p>	<p align="center">Faculty Research Services / Faculty Contracts / Joint Research Office</p>
	<p>That the Funder <a href="#">Credit Check</a> has been requested; credit worth has been established; and that the findings are considered within the negotiation of payment terms.</p> <p>That the contractual terms and conditions of funding (e.g. Publication, Confidentiality, Intellectual Property, Liabilities &amp; Insurance and Termination obligations) are in line with the College's Preferred Terms and Conditions Policy; <i>or, if not</i>, that the contractual terms have been referred to the appropriate College Officer detailed within the Preferred Terms and Conditions Policy, who has agreed to any potential deviation.</p>	<p align="center">Faculty Research Services / Faculty Contracts / Joint Research Office or Research Office (EC only)</p>

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	<p>That third parties have been identified; their relationship to the project defined as Research Partner or Professional Services; and that any third party agreement requirements have been identified, e.g. Collaboration Agreement; Clinical Trial Participating Agreement, Sponsorship Agreement; Subcontract, Service Agreement, Consultancy Agreement; Drug/Equipment/Data Supply Agreement; and that third party involvement has been designated as research collaboration or research service provision in accordance with VAT guidance</p>	<p>Faculty Research Services / Faculty Contracts / Joint Research Office or Purchasing</p>
	<p>That agreements involving purchase of goods or services in excess of £10k (exclusive of VAT) are compliant with the <a href="#">College's tendering requirements</a>, and that those involving purchase of goods or services &gt;£100k have been reviewed by the Purchasing Department and have been approved in line with Financial guidelines.</p>	

Approval is not a sequential process, and while elements of the approval process are illustrated as distinct there are significant overlaps and interdependencies between all elements. Designated approvers within Academic Departments and Faculty Research Services / Faculty Contracts teams / Joint Research Office, should consult throughout the process. Approvers should be notified and consulted in parallel whenever possible.

## APPENDIX II: DELGATED COLLEGE AUTHORITIES

ACTIVITY	VALUE (£) <sup>5</sup>	COLLEGE AUTHORITY	DELEGATED SIGNATORIES	COMMENTS
Standard (non-negotiable) core grant terms and conditions (all funder groups) including: * Standard Charity Grants Applications * Standard Research Council Grant Applications * Formal acceptance of standard Grants award terms	<5m	President / Provost delegated to: Director of the Research Office Faculty Deans	Faculty Research Services Managers or equivalent *	Authorisation of standard grant applications and acceptance is limited to grants that fall within the Funder's core terms and conditions. Grants of a non-standard nature or those that fall outside of the principles set out in the Preferred Terms and Conditions Policy will need to be referred to the appropriate College Officer. Cross Faculty or Department / Division contracts require appropriate approval from each Faculty / Department / Division prior to College Authorisation. College Authorisation will not be given until all Faculty approvals have been obtained. Interdisciplinary activity of a substantial nature should be referred to the President / Provost.
	5-10m	President / Provost delegated to: Director of the Research Office Faculty Deans	Faculty Research Services Managers or equivalent with reference to the Faculty Dean (or equivalent) *	
	>10m	President / Provost delegated to: Director of the Research Office Faculty Deans with reference to Provost	Faculty Research Services Managers with reference to the Faculty Dean (or equivalent) *	
Commercial Research Contracts Collaborative Research Contracts <b>WITHIN the Preferred Terms and Conditions</b>	<5m	President / Provost delegated to: Director of the Research Office Faculty Deans	Research Office: Deputy Director Research Office Faculty Research Services / Faculty Contracts Managers (or equivalent) *	Authorisation of contracts is limited to contracts that fall within those limits detailed in the Preferred Terms and Conditions Policy. Contracts of a contentious nature, or require significant institutional contribution or those that fall outside the principles set out in the Preferred Terms and Conditions Policy will need to be referred to the appropriate College Officer. Cross Faculty or Department / Division contracts require appropriate approval from each Faculty / Department / Division prior to College Authorisation. College Authorisation will not be given until all Faculty approvals have been obtained. Interdisciplinary activity of a substantial nature should be referred to the President / Provost.
	5-10m	President / Provost delegated to: Director of the Research Office Faculty Deans	Research Office: Deputy Director Research Office Faculty Research Services Managers or equivalent with reference to the Faculty Dean (or equivalent) *	
	>10m	President / Provost delegated to: Director of the Research Office Faculty Deans with reference to Provost	Research Office: Deputy Director Research Office Faculty Research Services / Faculty Contracts Managers (or equivalent) *with reference to the Faculty Dean.	

<sup>5</sup> As detailed in Imperial College Financial Regulations: Appendix A: levels of Authority ([https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/finance/internal/fin\\_reg\\_270509.pdf](https://www.imperial.ac.uk/media/imperial-college/administration-and-support-services/finance/internal/fin_reg_270509.pdf))

\* As delegated by the Faculty Deans, details of signatories are held <https://www.imperial.ac.uk/research-and-innovation/research-office/preparing-and-costing-a-proposal/approval-and-authorisation/> Faculties are required to submit proposed changes to the Research Office for approval. In exceptional cases, the Faculty Dean may act as signatory where this is expressly required by the Funder (e.g. ceremonial signing); where this is required the Faculty Research Services Manager / Faculty Contracts Manager shall request (on a case-by-case basis) written approval from the Research Office, which will not be unduly withheld. Copy of associated correspondence should be held on file for audit purposes.

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ACTIVITY	VALUE (£)	COLLEGE AUTHORITY	DELEGATED SIGNATORIES	COMMENTS
Grants / Contracts <b>OUTWITH the Preferred Terms and Conditions</b>	<5m	President / Provost delegated to: Director of the Research Office Faculty Deans	Research Office: Deputy Director Research Office Faculty Research Services / Contracts Managers (or equivalent) - upon receipt of written approval from the appropriate College Officer(s)	<b>Following referral to and approval from the appropriate College officer as set out in the Preferred Terms and Conditions Policy.</b>
	5-10m	President / Provost delegated to: Director of the Research Office Faculty Deans	Research Office: Deputy Director Research Office Faculty Research Services / Contracts Managers (or equivalent) - upon receipt of written approval from the appropriate College Officer(s)	
	>10m	President / Provost delegated to: Director of the Research Office Faculty Deans with reference to the Provost	Research Office: Deputy Director Research Office Faculty Research Services / Faculty Contracts Managers (or equivalent) *with reference to the Faculty Dean.	
European Commission Research Grants and Consortium Agreements (H2020), Data Collaboration or Transfer Agreements, MTAs for EU projects	All	President / Provost delegated to: Director of the Research Office	Head of EU team Contracts Negotiator EU teams	The European Commission only recognise certain authorised signatories per institution as listed.
Memorandum of Understanding (MoUs)	N/A	President / Provost delegated to: Director of the Research Office Faculty Deans Vice-President (Development and Innovation)	Research Office: Deputy Director Research Office Faculty Research Services / Contracts Managers or equivalent * Director of Enterprise	MOUs that fall outside of the principles set out in the Preferred Terms and Conditions Policy should be referred to the appropriate College Officer, detailed in the policy.

\* As delegated by the Faculty Deans, details of signatories are held <http://www.imperial.ac.uk/research-and-innovation/research-office/preparing-a-proposal/approval-and-authorisation>. Faculties are required to submit proposed changes to the Research Office for approval. In exceptional cases, the Faculty Dean may act as signatory where this is expressly required by the Funder (e.g. ceremonial signing); where this is required, the Faculty Research Services Manager / Faculty Contracts Manager shall request (on a case-by-case basis) written approval from the Research Office, which will not be unduly withheld. Copy of associated correspondence should be held on file for audit purposes.

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<b>ACTIVITY</b>	<b>VALUE (£)</b>	<b>COLLEGE AUTHORITY</b>	<b>DELEGATED SIGNATORIES</b>	<b>COMMENTS</b>
Confidentiality Agreements (CDAs)	N/A	President / Provost delegated to: Director of the Research Office Faculty Deans Vice-President (Development and Innovation)	Research Office: Deputy Director Research Office Faculty Research Services / Contracts Managers or equivalent * Director of Enterprise	CDAs that fall outside of the principles set out in the Preferred Terms and Conditions Policy should be referred to the appropriate College Officer, detailed in the policy.
<b>ACTIVITY</b>	<b>VALUE (£)</b>	<b>COLLEGE AUTHORITY</b>	<b>DELEGATED SIGNATORIES</b>	<b>COMMENTS</b>
Material Transfer Agreements – In (MTAs-In)	N/A	President / Provost delegated to: Director of the Research Office	Research Office: Deputy Director Research Office Contracts Officer, MTAs	MTAs-in (transfer of materials into Imperial) are administered by the Research Office.
Material Transfer Agreements - Out (MTAs-out)	N/A	President / Provost delegated to: Director of the Research Office Faculty Deans	Research Office: Deputy Director Research Office Faculty Research Services & Faculty Contracts Managers *	MTAs-out (transfer of materials from Imperial) are administered by Faculty Research Services (or equivalent)

Details of signatories are held <https://www.imperial.ac.uk/research-and-innovation/research-office/preparing-a-proposal/approval-and-authorisation/>

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\* As delegated by the Faculty Deans, details of signatories are held <http://www.imperial.ac.uk/research-and-innovation/research-office/preparing-a-proposal/approval-and-authorisation>. Faculties are required to submit proposed changes to the Research Office for approval. In exceptional cases, the Faculty Dean may act as signatory where this is expressly required by the Funder (e.g. ceremonial signing); where this is required the Faculty Research Services Manager / Faculty Contracts Manager shall request (on a case-by-case basis) written approval from the Research Office, which will not be unduly withheld. Copy of associated correspondence should be held on file for audit purposes.