Research and Enterprise Due Diligence Panel (REDD Panel)

Terms of Reference

1. The Research and Enterprise Due Diligence Panel will consider and where appropriate approve research and enterprise collaborations and partnerships and oversee all aspects of Trusted Research and Innovation including:

- Due diligence process and approvals
- Export control compliance and licencing
- Trusted Research best practice (as promoted by the National Protective Security Authority NPSA)
- Research Memorandum of Understanding (MoU)
- Communication, awareness raising and training

1.1 To assess due diligence information in relation to collaborative research and enterprise projects with third party partners identified as medium or high risk (based on the risk assessment matrix) through the University's ACP governance checks or through other routes and in accordance with funder requirements e.g. UKRI GCRF proposals.

1.2 To evaluate the likely legal, financial, reputational, regulatory, safety and other risks identified on, but not limited to, the University's due diligence questionnaire and checklists (which includes checks on country assessment, sanction lists, corruption index and FCDO advice for example).

1.3 To give REDD Panel approval decisions or make recommendations to the Pro Vice Chancellor for Research and Enterprise in accordance with the agreed approval process.

1.4 To reconsider due diligence information in light of changes to project plans, or changes to partner organisations brought forward to the REDDP that could materially affect the risk.

1.5 To maintain a list of organisations assessed through the due diligence process. Assessment of the organisations and subsequent decisions will stand for a period of 2 years without the need for re-assessment unless there are substantial changes.

1.6 To consider NPSA updates on security advice and to incorporate into REDD Panel assurance processes as appropriate.

1.7 To consider and, where appropriate, approve new MoUs for research collaborative partnership arrangements.

1.8 To review research and enterprise due diligence processes periodically to ensure they are fit for purpose and address external compliance requirements.

2. Approvals Process

2.1 Financial and operational risk assessment (Medium risk), the REDDP will either**:**

a) **Approve** (deemed to be acceptable medium risk with no outstanding concerns and no identifiable mitigations required)

b) **Approve with conditions** (where identified risks can be mitigated e.g. in collaboration agreements such as revised payment terms, IP clauses or where further information is requested)

c) **Not Approve**

2.2 For *all* reputational and for high risk financial and operational risk assessments the REDDP will review cases and make **recommendations** to the PVC Research and Enterprise for:

a) A**pproval** (deemed to be acceptable high risk and no identifiable mitigations required)

b) **Approval with conditions** (where identified risks can be mitigated e.g. in collaboration agreements such as revised payment terms, IP clauses).

c) **Non-Approval**

2.3 The PVC will escalate all cases for **approval with conditions** to the Vice-Chancellor with recommendation for final decision. The PVC may choose to escalate other large-scale or high-risk cases to the Vice-Chancellor. In consultation with the Vice-Chancellor and the University Executive Board, some exceptional cases may be referred Council for consideration.

2.4 Once a *funder* has been approved by this process, future cases for the same funder will be approved by the REDDP, unless upon review the risk changes substantially. Where the risk has changed the REDD Panel will escalate with a new recommendation to the PVC Research and Enterprise.

2.5 The REDD Panel will provide periodic reports to the University Research Ethics and Integrity Committee and report annually to the PVC Research and Enterprise.

3. Frequency of Meetings and Membership

3.1 The Research and Enterprise Due Diligence Panel will meet approximately once a month.

3.2 Membership will comprise of:

- Academic Director of International Research (Chair)
- Director of Research and Enterprise Services (Deputy Chair)
- Associate Director of Research Services
- Director of Strategic Planning and Governance (or nominee)
- Deputy Director of Finance (Operations and Compliance) (or nominee agreed by the Director of Finance)
- Head of Global Engagement
- Academic representative from each faculty (nominated by faculty Dean)
- Assistant Director of Communications (or nominee)

In attendance as required for specific cases:

- Project Principal Investigator
- Relevant Research Development /Business Development Manager

3.3 Further key people may be co-opted to the membership as required and the meeting will be considered quorate with 50 percent plus one members present.

3.4 The membership will be reviewed each year.

2024-25 Membership

Membership – role	Individual
Director of International Research (Chair)	Professor Kirk Semple
Director of Research and Enterprise Services (Deputy Chair)	Dion Williams
Associate Director of Research Services	Yvonne Fox
Director of Strategic Planning and Governance (or nominee)	Simon Jennings
Deputy Director of Finance (Operations and Compliance) (or nominee agreed by the Director of Finance)	Mel Green
Head of Global Engagement	Ben Matthews
Academic representative from each faculty (nominated by faculty Dean)	FASS – Professor Stephen Wilkinson FHM – Professor Roger Pickup FST – Professor Manus Hayne LUMS – Professor Adam Letchford
Assistant Director of Communications (or nominee)	Vicky Tyrrell
In attendance as required for specific cases: 1. Project Principal Investigator 2. Relevant Research /Business Development Manager	As needed
Further key people may be co-opted to the membership	As needed