



AHRC Research Programmes Monitoring Procedures

Fellowships in the Creative and Performing Arts

Under the Council's monitoring policy, AHRC award-holders are required to submit interim reports for awards of more than one year's duration, culminating in a final report in the final year; whilst one year awards necessitate the submission of a single final report.

Interim reports are assessed and graded using the following classifications:

- A **Satisfactory** grade indicates a programme of research that has satisfactorily addressed its research questions and major aims and objectives to date (subject to any changes that have previously been agreed), where the approach and research activities suggest a satisfactory level of achievement with the potential for results of a satisfactory quality and value.
- An **Unsatisfactory** grade indicates a programme of research that has not satisfactorily addressed its research questions and major aims and objectives to date (subject to any changes that have previously been agreed), and/or where the approach and research activities have not been satisfactory.

Final reports are assessed and graded using the following classifications:

- An **Outstanding** grade indicates a programme of research that has satisfactorily addressed its research questions and major aims and objectives (subject to any changes that have previously been agreed), where the approach and research activities suggest an outstanding level of achievement with the potential for results of the highest quality and value.
- A **Good** grade indicates a programme of research that has satisfactorily addressed its research questions and major aims and objectives (subject to any changes that have previously been agreed), where the approach and research activities suggest a good level of achievement with the potential for results of a high quality and value.
- A **Satisfactory** grade indicates a programme of research that has satisfactorily addressed its research questions and major aims and objectives (subject to any changes that have previously been agreed), where the approach and research activities suggest a satisfactory level of achievement with the potential for results of a satisfactory quality and value.
- An **Unsatisfactory** grade indicates a programme of research that has not satisfactorily addressed its research questions and major aims and objectives (subject to any changes that have previously been agreed), and/or where the approach and research activities have not been satisfactory.

Incomplete form

Where the interim or final report form has not been completed adequately, for example if the peer reviewer requires clarification of statements made or further evidence in support of self-assessments, or if there are problems with the financial details section, the report will be graded **Incomplete Form**, and the award-holder will be asked for a supplementary report to provide the necessary information.

Sanctions

There are certain actions the Council will take if award-holders fail to comply with its monitoring requirements, together with measures that will be employed if monitoring reports are assessed as unsatisfactory. The policy seeks to safeguard the use of public monies and ensure that the Council's administration of awards is conducted with the utmost probity.

The table in the annex overleaf lists these measures. The most severe breaches of AHRC monitoring requirements will result in award-holders being de-barred from making further applications to any of the Council's research schemes for two years, and under certain circumstances full or partial recovery of the grant will be sought.



Fellowships in the Creative and Performing Arts

Action the AHRC will take when its research monitoring requirements are breached or monitoring reports assessed as unsatisfactory

Monitoring Stage	AHRC Response
Failure to submit an interim report	<ul style="list-style-type: none">• A follow-up letter requesting the outstanding report will be sent.• Failure to submit the report within a month of that letter being dispatched will result in grant payments being halted until the report has been received.
Interim report assessed as unsatisfactory	<ul style="list-style-type: none">• Write to the award-holder to inform them of the status of their report (letter copied to the Dean of Faculty or equivalent). Ask them to address the AHRC's concerns about the research programme's progress or its management.• If this further information does not provide sufficient assurance that the research programme remains viable and a good use of public monies then some or all of the actions below may be instigated:<ul style="list-style-type: none">a) an urgent meeting will be sought with the award-holder and representatives of the institutions concerned to try and resolve mattersb) additional monitoring reports will be sought to keep a close watch on the research programme's progressc) the award may be terminatedd) monies may be reclaimed• A record of the unsatisfactory assessment will be held on file and may be taken into consideration when the award-holder (and any co-applicants) make further applications to the AHRC.
Failure to submit a final report	<ul style="list-style-type: none">• A follow-up letter requesting the outstanding report will be sent.• Failure to submit within a month of that letter being dispatched will lead to an automatic bar on the award-holder making further applications to any of the research schemes until the report is received.• Recovery of monies may be sought in part or full• A record of this failure to submit on time will be held on file and may be taken into consideration when the award-holder (and any co-applicants) make further applications to the AHRC.

Monitoring Stage	AHRC Response
Final report assessed as unsatisfactory	<ul style="list-style-type: none"> • Write to the award-holder to inform them of the status of their report (letter copied to the Dean of Faculty or equivalent). State that if there are exceptional reasons why they believe the grading should be re-considered then they should put their case in writing to the Associate Director of Programmes. • The award-holder will be debarred from making applications to any of the AHRC's research schemes for 2 years, unless it is determined that there are exceptional reasons for revoking the penalty. The letter confirming the penalty will be copied to the institution's Principal/Vice-Chancellor. • If the report was assessed as unsatisfactory due to a breach in the financial regulations then full or partial recovery of the grant will be sought. • A record of the unsatisfactory assessment will be held on file and may be taken into consideration when the award-holder (and any co-applicants) make further applications to the AHRC.