



Research Grants Handbook

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- This document describes STFC's research grant funding arrangements and terms and conditions that apply to all Research Council grants funded on the basis of full economic costs (fEC), calculated in accordance with the [Transparent Approach to Costing \(TRAC\)](#) methodology (universities and other higher education bodies) or by an [equivalent methodology](#) by other Research Organisations.
- This document sets out the application procedures and eligibility requirements, outlines the funding available to grant-holders, and details the responsibilities of STFC and grant-holders.
- This document is kept under constant review and may be revised at any time to reflect changes to policy, funding arrangements, or terms and conditions.
- The terms and conditions set out in this document incorporate the understandings reached between the signatories to The [Concordat](#) to Support the Career Development of Researchers

1.1 The STFC Mission

1.1

Our mission is set out in the Royal Charter granted to us by HM Queen Elizabeth II

We are required to:

- promote and support high-quality scientific and engineering research by developing and providing, by any means, facilities and technical expertise in support of basic strategic and applied research programmes funded by persons established in the United Kingdom and elsewhere.
- promote and support, by any means, high-quality basic, strategic and applied research and related post-graduate training in astronomy, particle physics, space science and nuclear physics and research in any other field which makes use of scientific facilities where access is provided, arranged or otherwise made available by the Council, having regard to the objects of the other research councils.
- promote and support the advancement of knowledge and technology (including the promotion and support of the exploitation of research outcomes) and to provide trained scientists and engineers, and thereby to contribute to the economic competitiveness of the United Kingdom and the quality of life of its people, meeting the needs of users and beneficiaries.

We are also charged to:

- generate public awareness;
- communicate research outcomes;
- encourage public engagement and dialogue;
- disseminate knowledge; and
- provide advice.

1.2 General Understandings

1.2

- Proposals are accepted and research grants awarded on the understanding that Research Organisations and grant holders agree to observe the terms and conditions set out in this document and any amendments issued during the currency of the research grant.
- A condition of every research grant is that the Research Councils accept no liability for the manner in which the work in connection with the research grant is undertaken, and the Research Organisation and grant holder will be responsible in all respects for the work and the consequences of it.
- The Research Organisation must ensure that any part of the full economic cost (fEC) of the project not funded by the Research Council is committed to the project before it starts.

1.3 Accountability

1.3

- Research Organisations in receipt of research grant funds from STFC are expected to ensure that there are reliable systems and processes in place for controlling the receipt and disbursement of those funds in accordance with established guidelines for the care of public funds.
- STFC will, as part of the Research Grants Funding Assurance Programme Initiative, visit Research Organisations to inspect the procedures in place for management of research grants, and to seek assurance that research grants are managed in accordance with the terms and conditions under which they were awarded, including the procurement of major equipment.
- Research Organisations in receipt of research grant funds are expected to ensure that their grant expenditure records will allow a reasonably convenient inspection of the direct charges to grants during the course of a Funding Assurance Programme visit.
- The Joint Research Councils [Funding Assurance Programme](#) provides an annual programme of visits to award holding bodies (mainly universities) to assess the process, procedures and controls in place around the administration of research funds.
- The joint programme has been running since 1997 and enables Research Council chief executives to comply with their responsibilities for ensuring that the public funds for which they are accountable are being administered and used with propriety by all award holding institutions. Annual reports are made to each Council's Audit Committee, supporting the sign off of Annual Accounts by the National Audit Office.
- The rationale, aims and methodology of the programme are set out in the Funding Assurance Programme Protocol, which also addresses the relationship between Research Councils and Funding Councils monitoring activities. Grant holding institutions are visited on a cyclical basis.

1.4 Good scientific practice

1.4

- Research Organisations in receipt of research grant funding from STFC are expected to have in place agreed procedures for governing good research practice, and for investigating and reporting unacceptable research conduct that meet the requirements set out in the [Research Councils' Code of Conduct and Policy on the Governance of Good Research Conduct \(2009\) \(PDF-157Kb\)](#) and any subsequent amendments.

- Where an allegation of scientific misconduct arises in respect of a researcher supported by an STFC research grant, STFC must be informed immediately and advised of the outcome of any investigation.

1.5 The Concordat to Support the Career Development of Researchers

1.5

- A [Concordat](#) to Support the Career Development of Researchers, agreed by the [Research Councils](#), the [Royal Society](#), the [British Academy](#), and [Universities UK](#) (formerly the Committee of Vice-Chancellors and Principals) came into effect on 1 September 1996. In June 2008 the concordat was reviewed and revised, information concerning these revisions can be found on the [Concordat website](#).
- The Research Organisation is expected to adopt the principles, standards and good practice for the management of staff set out in the [Concordat](#). It must ensure that reliable systems and processes are in place to promote equality of opportunity, to promote good relations between different equalities groups and to eliminate unlawful discrimination. Research Organisations will be expected to comply with all equal opportunities legislation in force at any time during the term of the grant. Research staff should be appointed on terms that are no less favourable than for posts for "like" work or work which is the "same or broadly similar" in the Research Organisation, or to jobs that are rated as being equivalent under a job evaluation scheme.

1.6 Full Economic Costing

1.6

- Research grants funded on the basis of full economic costs (fEC), must be calculated in accordance with the [Transparent Approach to Costing](#) (TRAC) methodology (universities and other higher education bodies). Other Research Organisations will be required to adopt an equivalent methodology.
- The Research Organisation must ensure that any part of the full economic cost of the project not funded by the Research Council is committed to the project before it starts.
- All costs that contribute to the fEC of the proposal should be included under one of the following cost headings.
 - [Directly Incurred](#): costs that are explicitly identifiable as arising from the conduct of a project, are charged as the cash value actually spent and are supported by an audit record.
 - [Directly Allocated](#): non-specific costs charged across all projects that are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent costs on a project-by-project basis.
 - [Indirect Costs](#): non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of the Research Organisation's administration such as personnel, finance, library and some departmental services.
 - [Exceptions](#): costs that are Directly Incurred but which Research Councils will fund at 100% fEC, subject to actual expenditure incurred, or items that are outside fEC.

1.7 Costing Methodology for non-university Research Organisations

1.7

- Research Councils will apply the same funding arrangements to all organisations that are eligible for their support. Non-university organisations will not be expected to use the Transparent Approach to Costing (TRAC) methodology, but Research Councils will require a validation process to ensure that non-university costing methodologies are robust.
- The [standard default rates](#) should be used where Research Organisations have not yet developed their own rates.

1.8 Work permits

1.8

- Work permits, where required, are a matter for direct negotiation between the Research Organisation as the employer and the Home Office.
- Employers wishing to make work permit applications should continue to follow the procedures and use the contacts published on the [Work Permits \(UK\)](#) website

1.9 Open Source Software (OSS)

1.9

- The Government policy on Open Source Software (OSS) is available from the e-Government Unit of the Cabinet Office. Further information is available from the [Open Source Initiative](#) (OSI)
- Publicly funded R&D projects which aim to produce software outputs should specify a proposed software exploitation route at the start of the project. At the completion of a project, the software should be exploited either commercially or within an academic community or as OSS.
- Note that the policy on exploiting R&D software does not apply to software developed in the area of defence, national security or law enforcement. It also does not apply to software developed by Trading Funds.

1.10 Demonstrating Potential Impact

1.10

The excellent research funded by the UK Research Councils has a huge impact on the wellbeing and economy of the UK. Working together with our wider communities and other partners, we want to ensure that these impacts are effectively demonstrated and supported throughout the research life cycle and beyond. This will add value, stimulate interest from wider stakeholders - including the general public - and, where needed, actively highlight the need for continued investment in the research base.

The onus rests with applicants to demonstrate how they will achieve this excellence with impact, bearing in mind that impacts can take many forms and be promoted in different ways.

The Research Councils describe impact as the demonstrable contribution that excellent research makes to society and the economy. Impact embraces all the extremely diverse ways in which research-related knowledge and skills benefit individuals, organisations and nations by:

- fostering global economy performance, and specifically the economic competitiveness of the United Kingdom,
- increasing the effectiveness of public services and policy, and
- enhancing quality of life, health and creative output.

This accords with the Royal Charters of the Councils and with HM Treasury guidance on the appraisal of economic impact.

STFC is committed to the principles below, as articulated in the [RCUK Expectations for Societal and Economic Impact](#).

The Research Councils give their funding recipients considerable flexibility and autonomy in the delivery of their research, postgraduate training and knowledge transfer activities. This flexibility and autonomy encompasses project definition, management, collaboration, participation, promotion and the dissemination of research outputs; this approach enables excellence with impact.

In return, the Research Councils expect those who receive funding to:

- demonstrate an awareness of the wider environment and context in which their research takes place

- demonstrate an awareness of the social and ethical implications of their research, beyond usual research conduct considerations, and take account of public attitudes towards those issues
- engage actively with the public at both the local and national levels about their research and its broader implications
- identify potential benefits and beneficiaries from the outset, and through the full life cycle of the project(s)
- maintain professional networks that extend beyond their own discipline and research community
- publish results widely - considering the academics, users and public audiences for research outcomes
- exploit results where appropriate, in order to secure social and economic return to the UK
- manage collaborations professionally, in order to secure maximum impact without restricting the future progression of research
- ensure that research staff and students develop research, vocational and entrepreneurial skills that are matched to the demands of their future career paths
- take responsibility for the curation, management and exploitation of data for future use
- work in partnership with the Research Councils for the benefit of the UK

The expectations clarify the position of the Research Councils with respect to impact, rather than introducing a new approach. Many of these expectations are already incorporated into Research Council processes and guidance, for example exploitation is addressed within grant terms and conditions, and continuing professional development through the Concordat to Support the Career Development of Researchers.



Research Grants Handbook

Section 2: Eligibility

The STFC Programme

Eligibility of Applicants - Principal Investigators

Eligibility of Applicants

Eligibility of Retired Academics

Eligibility of Research Organisations

STFC Research Council Institutes

Other Research Council Institutes

Independent Research Organisations

STFC Approved Independent Research Organisations

2.1 The STFC Programme

2.1

- Proposals for research grants must fall within the remit of STFC.
- The STFC Programme is divided into six main subject areas:
 - Particle Physics
 - Astronomy
 - Particle Astrophysics
 - Solar and Planetary Science
 - Development of STFC neutron, laser and synchrotron facilities within the UK
 - Nuclear Physics
- Potential applicants should seek advice from STFC well in advance of submitting a proposal if they are unsure about the relevance of their research grant proposal to STFC's area of research.
- Where a proposal is received that does not address STFC's area of science, it may be referred, in consultation with the Principal Investigator, to a more appropriate Research Council.
- There are special procedures for [cross disciplinary proposals](#) such as Particle Astrophysics and gravitational physics.
- The Research Councils recognise that research is becoming increasingly interdisciplinary and multidisciplinary and they are seeking to increase opportunities for, and to reduce barriers to, scientific collaborations that cross the traditional boundaries between disciplines. There are special procedures for [cross-Council proposals](#).

2.2 Eligibility of Applicants - Principal Investigators

2.2

Principal Investigators must meet the criteria under both of the sections below.

1) At the time of application, the Principal Investigator must either:

a) be employed by the Research Organisation submitting the proposal;

Or

b) if not employed by the submitting organisation¹, have an existing written formal arrangement with the organisation confirming that the research will be conducted as if the PI were an employee, ie that enables him or her to carry out research there and receive from the organisation all necessary management and infrastructural support, and that commits the organisation to take full responsibility for the research and its proper governance;

Or

c) be scheduled to move to the submitting organisation before the proposed start date of the grant, whether or not the proposal is successful, in such a way that would ensure that criterion a) or b) is met by the time the grant starts²;

2) At the time of application, the Principal Investigator must have either:

a) a contract of employment that extends to beyond the duration of the proposed grant (or, if not employed by the submitting organisation, a formal arrangement as described in §1b above that extends to beyond the duration of the proposed grant);

Or

b) an assurance from the submitting organisation that, if the proposal is successful, the contract of employment, or formal commitment to provide support if not employed at the organisation, will extend to beyond the end date of the grant.

¹ That is, employed elsewhere and seconded to the submitting organisation; or not employed at all (for example, retired investigators)

² In this case, the affiliation shown for the investigator should be the organisation that would hold the grant.

2.3 Eligibility of Applicants

2.3

- Principal Investigators and Co-Investigators must be either resident in the UK and employed on a full or part-time basis as academic members of staff (e.g. lecturers or equivalent) of a UK Research Organisation, or be employed by an overseas Research Organisation approved by STFC as eligible to apply for research grant funding.
- Holders of Fellowships, for example STFC and Royal Society Fellows or other Fellowships won through open competition, are also eligible to apply for research grants. If the fellowship does not extend beyond the proposed end date of the grant, the Research Organisation must confirm, at the time of the application, that the fellow will continue to have an appointment at the Organisation that enables him or her to meet the eligibility criteria for Principal Investigators.
- Recipients of Research Council Academic Fellowships who are initially supported as postdoctoral research assistants (PDRAs) on research grants are eligible to apply for a new research grant in their own right. However, they cannot start any successful award until they have completed their PDRA duties on the original research grant.
- Senior post doctoral research assistants may be eligible to be named as Principal Investigators or Co-Investigators, dependent on their experience and qualifications. Such cases should be proposed accompanied by a letter of support from the Head of Department at the institution, together with a case for support justifying the request. Research assistants in this category must ensure that their appointment extends for at least the period of the grant for which they are seeking funds.
- Post-doctoral research assistants who are not eligible to apply for a grant in their own right, but who merit appropriate recognition for making a significant contribution to the preparation of the proposal and the ensuing research, may be named on research grants proposals as a Researcher Co-Investigator.
- Co-Investigators must be named. Resources may not be requested in respect of unnamed investigator posts (for example, in anticipation of an impending appointment).
- All other research assistants, technicians and other researchers who are employed on a Research Council research grant are **not eligible to apply** either in their own right or as Researcher Co-Investigators.

- Potential applicants who are unsure about their eligibility should contact the appropriate secretariat for advice before submitting their proposal.
- The Research Organisation must notify STFC of any change in its status, or that of any of the investigators, that might affect the eligibility to hold a research grant.
- STFC must be informed if the Research Organisation proposes to change the Principal Investigator, for example, following retirement or resignation. The Research Organisation may nominate a replacement Principal Investigator, but STFC will require confirmation that the replacement meets the eligibility criteria for Principal Investigators and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

2.4 Eligibility of Retired Academics

2.4

- If a Principal Investigator or Co-Investigator is retired, the expectation is that their level of involvement in a project would be covered by a contract with the Research Organisation. The cost of their time attributed to the project is thus likely to be a Directly Incurred cost.
- However, holders of certain senior non-stipendiary posts (e.g. Visiting Professor, Professor Emeritus etc) may be eligible, subject to STFC's prior approval, to submit a research proposal as a Principal Investigator or as a Co-Investigator. The number of hours attributed to the project should be stated in the proposal, but with a zero salary cost.
- Where the Principal Investigator or Co-Investigator is retired (or will retire before the end of the grant), or holds a senior non-stipendiary post, the Head of Department must undertake to provide the necessary support, facilities and infrastructure until the grant is completed.

2.5 Eligibility of Research Organisations

2.5

- The Research Councils promote and support research, postgraduate training and associated activities in UK research organisations.
- Proposals may be at the instigation of the investigator (Responsive Mode) or at the instigation of STFC (Calls for Proposals, Statements of Interest or Managed Mode).
- All UK Higher Education Institutes (HEIs) are eligible to receive funds for research, postgraduate training and associated activities. The Higher Education Funding Councils determine whether an organisation meets the criteria as an HEI.
- STFC [Research Institutes](#) (RIs) and [other Research Council RIs](#) are also eligible to receive STFC funding for research.
- Other [Independent Research Organisations](#) (IROs) may also be eligible to receive STFC funding for research, if such research extends and enhances the STFC science base (particle physics, astronomy, solar system science and particle astrophysics).
- In selected cases, STFC may have requirements for the development of equipment or facilities, needed to pursue our research priorities, for which there is no capability in HEIs, ROs or IROs. In these specific circumstances, STFC will issue a Call for Proposals and may fund organisations which do not otherwise satisfy the conditions for eligibility.
- Potential applicants from eligible independent research organisations should also check the eligibility of applicants' requirements and any additional eligibility requirements for the scheme (research grant or fellowship) to which they are applying.
- Independent Research Organisations applying for STFC support for the first time, or seeking to check their eligibility, should contact STFC Swindon Office (grantspolicy@stfc.ac.uk) in the first instance.

2.5 Eligibility of Research Organisations

2.5.1 STFC Research Council Institutes

2.5.1

- STFC Institutes are eligible to apply for research grants. If the grant is awarded STFC will pay 80% of the full economic cost of research projects.
- STFC operates several scientific institutes:
 - Isaac Newton Group (ING) in La Palma
 - Joint Astronomy Centre (JAC) in Hawaii
 - Astronomy Technology Centre (ATC) in Edinburgh
 - Diamond Light Source on the Harwell Science and Innovation campus in Oxfordshire
 - STFC Laboratories [Rutherford Appleton Laboratory (RAL) on the Harwell Science and Innovation Campus in Oxfordshire and Daresbury Laboratory on the Daresbury Science and Innovation Campus in Cheshire]
- Applications are restricted to those members of staff who have been nominated by the site Director to hold a research allocation and will normally include only staff who are full members of the site staff. Applicants must be of a similar standing to those who would be eligible to apply from UK universities (i.e. hold an appointment equivalent to professor, lecturer, reader or fellow).
- For all applicants, their contract of employment must extend for at least the period of the grant for which they are applying. In addition, for ING and JAC applicants, at least part of the applicant's salary must be sourced from the UK contribution to the facility.
- Where there is uncertainty about eligibility, the site Director should seek clarification from STFC Swindon Office (grantspolicy@stfc.ac.uk) before submitting the proposal.

2.5 Eligibility of Research Organisations

2.5.2 Other Research Council Institutes

2.5.2

Eligibility of Research Council Institutes for funding from non-parent Councils

- The Research Councils have agreed to a change in the eligibility status of Research Council Institutes for grant funding from non-parent councils. Up to now, Councils have assessed the eligibility of institutes of other Councils on a case-by-case basis or, in some cases, through bilateral reciprocal arrangements. Now, in a move to create more consistency between Councils in the treatment of RC institutes and to help remove potential barriers to funding interdisciplinary research, the Councils have agreed that all RC institutes should be eligible for grant funding from all Councils from 1 April 2008.
- Institutes that are considering submitting a proposal to a Council to which they will be newly eligible are encouraged to discuss the proposal with the relevant Council staff in the first instance and to consult the Council's published funding guidance.
- If the grant is awarded, STFC will pay 80% of the full economic cost of research project.

2.5 Eligibility of Research Organisations

2.5.3 Independent Research Organisations

2.5.3

- Other Independent Research Organisations may also be eligible to receive funding for research, if such research extends and enhances the national research base.
- In order to be recognised as an Independent Research Organisation (IRO) the organisation must satisfy the following conditions:
 1. Organisations which are, or which are constituent parts of, a charity registered with the Charities Commission; or associations which are eligible for exemption from Corporation Tax under schedule 508 of the Income and Corporation Taxes Act 1988; or organisations which are wholly owned subsidiaries of an association approved under section 598 of the Income and Corporation

Taxes Act whose articles of association require that all profits are returned (gift-aided) to the section 508 association.

2. The organisation must be a legal entity which is not:

- owned,
- established; or
- primarily funded for research purposes

by a part of the public sector (other than by a Research Council, NEI, NHS Trust, National museum/gallery/library/archive/botanical garden/observatory) or by a business.

3. The Organisation must be able to demonstrate an independent capability to undertake research in the field or discipline in which it wishes to be funded, and lead the research for which funding is received.

- A change in the status of the IRO would require re-consideration of an IRO's eligibility. Otherwise, once eligibility has been granted it will continue unless the IRO has received no funding during the previous five years.
- Independent Research Organisations will not be expected to use the Transparent Approach to Costing (TRAC) methodology, but Research Councils will require completion of a validation process to ensure that the IRO's costing methodologies are robust.
- If the grant is awarded STFC will pay 80% of the full economic cost of research projects.
- Independent Research Organisations wishing to approach STFC for consideration should contact STFC Swindon Office (grantspolicy@stfc.ac.uk) in the first instance.

2.5 Eligibility of Research Organisations

2.5.4 STFC Approved Independent Research Organisations

2.5.4

Armagh Observatory is eligible to apply for responsive mode or managed mode research grants under full economic costing (fEC) principles. If the grant is awarded STFC will pay 80% of the full economic cost of research projects.

The Natural History Museum is eligible to apply for responsive mode or managed mode research grants under full economic costing (fEC) principles. If the grant is awarded STFC will pay 80% of the full economic cost of research projects.

CERN was granted UK PSRE status in 2002. In order to build capacity in the area of knowledge transfer and commercialisation CERN is now eligible to apply in managed mode for IPS funding and the Follow on Fund only.

Applicants from CERN must be a scientist or engineer performing one of the following functions:

- Research, development or professional work including academic study and/or supervisory responsibility
- Leadership of research, development or professional work involving a wide range of academic study and/or strategic responsibility
- Responsibilities of the highest level of scientific and/or management complexity, originality and wide distinction

All applicants from CERN should provide a covering letter to their Research Proposal stating confirmation that they meet the eligibility criteria as set down above.

An applicant's contract of employment with CERN must extend for at least the period of the grant for which they are seeking funds. The Principal Investigator need not be a UK citizen.

The collaborating organisation must have its research or manufacturing base in the UK.

All amounts requested should be given in pounds sterling. Estates and Indirect costs will not be applicable to IPS or Follow on Fund grants awarded to CERN. The estates and indirect costs addition is covered in the STFC subscription payment to CERN. If the grant is awarded, STFC will pay 80% of the full economic cost of research projects, excluding estates and indirect costs.

Declaration - the completed Research Proposal form must be approved by the appropriate Head of Department or equivalent and submitted through the Director of Technology Transfer and Scientific Computing at CERN.

Successful IPS and Follow on Fund awards to CERN applicants will be subject to the standard terms and conditions of STFC awards although additional grant conditions might be required on individual grants.

European Southern Observatory In July 2002, the UK became the tenth member of the European Southern Observatory (ESO). ESO is an intergovernmental astronomical research organisation, operating a suite of telescopes at two observatories in Chile on behalf of its Member States.

In order to build capacity in the area of knowledge transfer and commercialisation ESO is now eligible to apply in managed mode for IPS funding and the Follow on Fund only.

Applicants from ESO must be a scientist or engineer performing one of the following functions:

- Research, development or professional work including academic study and/or supervisory responsibility
- Leadership of research, development or professional work involving a wide range of academic study and/or strategic responsibility
- Responsibilities of the highest level of scientific and/or management complexity, originality and wide distinction

All applicants from ESO should provide a covering letter to their Research Proposal stating confirmation that they meet the eligibility criteria as set down above.

An applicant's contract of employment with ESO must extend for at least the period of the grant for which they are seeking funds. The Principal Investigator need not be a UK citizen.

The collaborating organisation must have its research or manufacturing base in the UK.

All amounts requested should be given in pounds sterling. Estates and indirect costs will not be applicable to IPS or Follow on Fund grants awarded to ESO. The estates and indirect costs addition is covered in the STFC subscription payment to ESO. If the grant is awarded, STFC will pay 80% of the full economic cost of research projects, excluding estates and indirect costs.

Declaration - the completed Research Proposal form must be approved by the appropriate Head of Department or equivalent and submitted through the Director of Technology Transfer and Scientific Computing at ESO.

Additional conditions - successful IPS and Follow on Fund awards to ESO applicants will be subject to the standard terms and conditions of STFC awards although additional grant conditions might be required on individual grants.

Note: STFC also operate the Research in Industry funding scheme which aims to engage industry in STFC's programme technology development. Companies may apply for Research in Industry funding on their own or as part of a collaboration involving one or more partner organisations, which may be either industrial or academic. Funding, in specified programme areas, is provided through agreements (not research grants) between STFC and supplier companies, following standard terms and conditions.

Any other independent research organisations who might wish to apply for STFC research grant funding should contact STFC Swindon office (grantspolicy@stfc.ac.uk) in the first instance.



Research Grants Handbook

Section 3: Funding Opportunities

Support Available

Summary of STFC Grant-Funded Research Programmes

Other Research Programmes

Facilities

3 Funding Opportunities

3

- Research grants are awarded to researchers to carry out research projects of novelty, timeliness and promise in [STFC's areas of science](#) within a stated period of time.
- Researchers have flexibility in the planning and completion of the project, however, this must be consistent with the need to retain [adequate control over the expenditure of public funds](#).

[Support Available](#)

[Summary of STFC Research Grant Schemes](#)

[Other Schemes](#)

[Facilities](#)

3.1 Support Available

3.1

- STFC will award research grants for research projects in which the applicant(s) will be personally engaged including:
 - collaborative projects involving researchers at a number of UK institutions;
 - projects involving collaboration with industry;
 - visits by the applicant to recognised UK and international institutions or centres to study new techniques and research developments;
 - costs of hosting visits (excluding salaries) by senior scientists from the UK or overseas who are of acknowledged standing to work in the Principal Investigator's Research Organisation for up to one year on a research project;
 - costs of observing trips to recognised telescopes, including STFC telescopes in the UK and abroad.

3.2 Summary of STFC Grant-Funded Research Programmes

3.2

STFC operates grant-funded research programmes in a number of areas including:

- [Astronomy research grants](#) that are awarded for research in the areas of astronomy, cosmology and solar system science.
- [Particle Physics research grants](#) that are awarded for research in areas of experimental and theoretical particle physics and certain aspects of particle astrophysics.

- [Nuclear Physics](#) grants provide funding in support of the UK nuclear physics programme.
- [PATT travel grants](#) are awarded for observing trips to recognised telescopes, including STFC telescopes.
- Funding for senior scientists (visiting researchers) from the UK or overseas, who are of acknowledged standing to visit and work in the Principal Investigator's Research Organisation for a period of up to twelve months should be applied for as a standard grant. For further information please see the astronomy, particle physics and nuclear physics [guidelines](#).
- There are several [programmes](#) that support and encourage knowledge exchange between academia, industry and other research organisations.
- The [Follow-on-Fund](#) aims to increase the level and accelerate the commercialisation of research ideas arising from the STFC/BBSRC/EPSC/NERC research community by providing funds to enable ideas to be brought to a stage where commercial opportunities can be secured.
- The [Project Research and Development \(PRD\)](#) Scheme intends to develop the capabilities needed to underpin UK science and technology leadership in future STFC projects and includes an [opportunity for industry](#) to apply directly to the STFC for funding for research and development that will benefit STFC's science programme.
- [Major New Projects](#) such as participation in new experiments or missions, the development of new instruments or upgrades to existing detectors require statements of interest, which are reviewed by the Particle Physics, Astronomy and Nuclear Physics Science Committee (PPAN) or the Physical and Life Sciences Committees (PALS). Proposers may subsequently be invited to submit a full proposal to the Project Peer Review Panel (PPRP) for assessment.
- [New Applicants Scheme](#) - Newly appointed academic members of staff (lecturers or lecturer equivalent fellows) who have joined a department between grant reviews may exceptionally apply separately for support. This will potentially allow them to begin to establish a research programme on appointment. If grant funding is agreed, funding is likely to be awarded as an addition to the departments consortium's existing consolidated grant.

3.3 Other Research Programmes

3.3

- STFC joint funds research through programmes operated by other funding bodies. Current opportunities include:
 - o [Joint Grant Scheme \(JGS\)](#) These joint Research Council/DSTL (Defence Science and Technology Laboratory) grants support research of high scientific quality with relevance to the defence industries.
 - o [Knowledge Transfer Partnerships](#) are a programme for encouraging technology transfer partnerships between universities and industry. It places associates (graduate and postdoctoral) in a company to work on a project that is a key part of the company's business development strategy. KTP's are sponsored by a variety of organisations and research councils and are managed by the Technology Strategy Board. Full details are available on the KTP online website.
 - o The [RCUK Business Plan Competition](#) jointly sponsored by all seven research councils concentrates on practical aspects of turning excellent science into successful business.
 - o [Discipline Hopping Awards](#) (run in partnership with MRC) provide short term support to pump prime new collaborations between engineers and physical scientists with life scientists, with the aim of fostering long-term interaction.

3.4 Facilities

3.4

- STFC supports a range of national and international facilities that are available for use by researchers working within STFC's areas of science and also facilities for researchers working in the areas of science funded by the other Research Councils.
- Applicants for STFC grant funding who wish to use a facility that STFC owns, manages, or for which it is the UK agent, must ensure that their requirements for access to the facility can be met by contacting the specific facility co-ordinator directly.

- STFC does not provide research grant support for areas of science that fall into the remit of the other Research Councils.
 - For information on STFC funded astronomy facilities and guidance on how to apply see the [Astronomy Programme](#).
 - For information about applying for time on STFC supported national and international laser, neutron and synchrotron facilities please contact the facility directly:
 - [Central Laser Facility \(CLF\)](#)
 - [Diamond Light Source \(DLS\)](#)
 - [European Synchrotron Radiation Facility \(ESRF\)](#)
 - [Institute Laue-Langevin \(ILL\)](#)
 - [ISIS Pulsed Neutron and Muon Source \(ISIS\)](#)
 - [Synchrotron Radiation Source \(SRS\)](#)
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Research Grants Handbook

Section 4: STFC Research Grants

Types of Research Grant

Standard Research Grants

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4 STFC Research Grants

4.1 Types of Research Grant

4.1

Research grant support is currently provided through two types of research grants.

- [Standard](#)
- [Rolling](#) (from the end of February 2011 STFC will no longer be awarding rolling grants)

From the start of March 2011 STFC will be introducing a new consolidated grant mechanism.

4.1 Types of Research Grant

4.1.1 Standard Research Grants

4.1.1

- Standard grants:
 - normally awarded for a period of up to three years;
 - STFC will not consider standard grant proposals from Principal Investigators or Co-Investigators for work that would normally be funded through a rolling grant at their institution.

4.1 Types of Research Grant

4.1.2 Rolling Research Grants

4.1.2

- Rolling grants provide funding for projects or large scale programmes that require longer term support:
 - normally awarded for a period of five years or more with progress reviewed at an agreed future date;
 - applicants applying for support through a rolling grant should make this clear in the proposal. A report on the progress of any current STFC research grant(s) that they wish to be incorporated into a rolling grant proposal should be attached;
 - applicants seeking [continued support](#) for a current rolling grant must include a report, with their case for support, on progress on the project up to the date of review.

4.1 Types of Research Grant

4.1.3 Cross disciplinary Proposals

4.1.3

- For research proposals that cross, or fall between, the remits of the Astronomy and Particle Physics Grants Panels, such as those in particle astrophysics or gravitational physics, applicants are asked to provide a 1-2 page **outline of the proposal** by e.mail to the Astronomy or Particle Physics Secretariats at STFC, **in advance of their application**.
- The Secretariat will advise applicants on the appropriate Grants Panel to consider the proposals

4.1 Types of Research Grant

4.1.4 Cross-Council Research Proposals

4.1.4

- The Research Councils have recognised that many of today's challenges lie at the boundaries of the traditional disciplines and the Government has recently highlighted the need for an enhanced culture of interdisciplinary and multidisciplinary research in the UK.
- A [cross-Council protocol](#) describes the principles under which Research Councils operate the assessment and funding of responsive mode research proposals that straddle the remits of the Councils.
- All responsive mode research grant proposals that extend beyond a single Research Council's remit will be assessed by peer reviewers from across the relevant domains, thereby ensuring fair and rigorous assessment. Beyond this stage, decisions will be made through a single Council's peer review process, but any significant element residing within another Council's remit will be funded by the Council(s) concerned. This will avoid the 'double jeopardy' of additional review, whilst ensuring that funding allocations reflect Research Councils' different missions, imperatives and approaches.
- Applications will be submitted through the Je-S system to the Council that the applicant considers the most appropriate. [Details of Councils' remits](#) can be obtained from their web-sites.
- We strongly encourage applicants wishing to submit proposals for research that crosses the remits of STFC and another Research Council/s to contact us prior to submission of the proposal. Enquiries are best directed to the appropriate staff contact for the relevant area of research.
- Once a proposal is submitted to STFC we will consider whether the scope of the application, in terms of its imperatives and the approaches proposed, extends into another Council's remit. If we consider that the scope extends into another Council's remit, we will contact an identified colleague at the supporting Council(s) concerned.
- STFC and supporting Councils will determine whether, and to what extent, the application straddles their remits.
- If the application is considered to extend beyond the remit of STFC, the supporting Council(s) will nominate peer reviewers from their own domain(s), who will be asked to provide an assessment.
- The application will then proceed through STFC's peer review process.
- If the application is successful and the contribution of the supporting Council(s) has earlier been agreed to be significant, funding will be provided by all of the Councils concerned.
- Outcome correspondence and awards will be issued by STFC, but any post-award review will involve assessors nominated by the supporting Council(s).

- The Councils will collectively gather, analyse and publish data on the number and performance of applications that straddle their remits, and will annually review the operation of the protocol.
- **Note: The protocol applies to all responsive-mode research grant applications only.** Responsive mode excludes any proposals that are submitted to STFC in response to a targeted call for proposals in a defined thematic area, for example within a managed or directed programme or against defined strategic objectives.

4.1 Types of Research Grant

4.1.5 Research on government or private property

4.1.5

- Research grant applicants who intend to undertake research work on either government or private property must obtain the consent of the organisation before submitting their proposal.

4.1 Types of Research Grant

4.1.6 Personal Information

4.1.6

- The personal information collected from the proposal form is used by STFC for administrative and statistical purposes, and plays no part in the assessment of proposals. However, STFC may use the expertise information to help identify potential referees for research grant proposals.
- It should be noted that STFC is in full compliance with the requirements of data protection legislation. As such, personal information will not be used for any other purpose nor disclosed to a third party without the consent of the individual. Reference should be made to the section on Data Protection Regulations in the [Terms and Conditions of Research Council Grants](#) for further information.
- All Committee/Panel papers and correspondence are marked "In Confidence" and members must take all reasonable steps to ensure that the contents of these papers are treated as Confidential.
- There will be occasions when a higher classification is necessary. In these instances papers and correspondence will be marked 'Restricted' and/or 'Commercial in Confidence'. Members must respect such classification by not disclosing or discussing the content or nature of the papers with anyone other than those whom they know to have officially received the same documents. Any information that is not already publicly available can be classified as confidential. Anyone who receives information knowing it to be confidential. This places a burden of responsibility on recipients which they cannot avoid.
- Members should observe the requirement for confidentiality and to keep papers that come to them in their official capacity secure and, when their term of office has come to an end, to make sure that all papers are returned or destroyed. Members who chair committees or panels may receive advice from the STFC in the form of written briefing in advance of meetings. Any such briefing materials are provided in confidence solely for the purposes of those meetings and should either be collected by the Secretariat or destroyed immediately after the meeting.
- Members who undertake review of applications for funding will treat all details of such applications in strict confidence. It may be necessary to seek comments with colleagues. This should be done on the understanding that their views are being sought in confidence.
- In return, STFC will treat the comments and identification of peer reviewers as confidential. STFC will only provide a summary of the comments and not disclose the identification of the peer reviewer unless required to do so by law.

4.1 Types of Research Grant

4.1.7 Use of Information from Proposals

4.1.7

- To meet the Council's public accountability and information dissemination obligations, details of funded grants may be made publicly available on STFC's web site and other publicly available

databases, in reports and/or paper documents. The following information contained in funded research proposals may routinely be made publicly available:

- name of the host Research Organisation;
 - details of applicants (title, forenames, initials, surname, research organisation and department);
 - name(s) of project partner organisations;
 - project title;
 - technical and non-technical summaries of the proposal;
 - value and duration of proposal (and any subsequent grant).
- Applicants should ensure that, where necessary, the title, summary and objectives of the proposed research are worded in a way that protects commercially confidential or sensitive information.
 - Applicants must obtain the necessary agreements from any industrial or other collaborating organisation with a commercial interest in the proposal for the inclusion of their material.
 - Where information is "Commercial-in-Confidence", it should be clearly identified and submitted as a separate attachment to the main proposal.

4.1 Types of Research Grant

4.1.8 VAT

4.1.8

- The funds awarded will include any costs in respect of VAT, or other taxes, payable on the purchase of goods and services by the Research Organisation or assessed as due on the work carried out. No additional payments will be made by STFC in respect of such taxes. All monetary values referred to in this handbook are inclusive of VAT, and other taxes, unless otherwise stated.
- Where funds have been provided for the construction of equipment for subsequent export overseas the Research Organisation should inform the local VAT office and seek a rebate of the associated VAT.
- STFC must be advised of any rebates made by the Customs and Excise on STFC supported research grants. The Research Organisation cannot use, or transfer, these rebates without the prior written approval of STFC

4.2 Assessment Procedures

4.2

- The definition and delivery of the STFC science programme is aided by a range of advisory, peer-review, co-ordinating, steering and management committees. Each has specific terms of reference and a membership decided in consultation with the community in most cases following a call for nominations.
- Scientific assessment of research grant proposals will be made by experts in the field from academia, government and industry. Research grant proposals will be assessed by individual referees and by Peer Review panels. For grants received through the Standard and Facility Research & Development Panel (FRDP) schemes this will include an assessment of the Pathways to Impact Section (formerly the impact plan).
- Applicants should note that research grant panels will judge the proposal against the following key assessment categories:

Category 1. Absolute pre-requisite, without which an application will not be recommended for funding:

- - Scientific excellence: specific objectives of the project.
 - International competitiveness.
 - Strategic value within the STFC programme.

Category 2. Supporting evidence which increases the confidence in a successful outcome. Where any of these are not met the risk and any proposed remedial or mitigation action must be identified. Where any criteria are not met any recommendation for funding would be subjected to

close scrutiny by STFC. If approved for funding, STFC is likely to make an award contingent on remedial action to address the concerns highlighted before funds are committed.

- Productivity of Investigator.
- Productivity of grant supported staff (where relevant).
- Quality of leadership/management.
- Suitability of Institution/Group.

Category 3. Important additional criteria, the opportunities and plans for which must be addressed in the application.

- Potential for economic impact.
- Quality of Pathways to Impact section (where applicable).
- Applicants are advised to consult the [guidance](#) on the above for further information.

Category 4. Ensuring that the health and critical mass in key instrument/construction groups is maintained (Rolling grants only).

- Sustainability (of key instrument/construction groups).

Applicants should refer to the guidelines for the scheme for which they are applying for further details.

- Proposals seeking studentship support will be assessed on:
 - whether the studentship project provides a sound training in research methods and techniques;
 - the broader skills training available to the student;
 - the quality of the studentship project and how it adds value overall to the research proposal.
- Each research grant proposal will normally be assessed by at least two referees, one of whom may be nominated by the applicant. Nominated referees must not be collaborators, neither should they be from the applicant's or collaborator's home organisation. STFC reserves the right not to use nominated referees.
- Papers sent by STFC to referees and panel members are marked "In Confidence". The "In Confidence" marking is intended to ensure that the contents of the proposal are not made known more widely than is necessary for proper consideration.
- Referees and panel members are required to disclose conflicts of interest, personal or institutional, where this arises in relation to a proposal they have been asked to assess.
- Applicants are given the opportunity to reply to referees' comments.
- Applicants who lobby or canvass members of the peer review panels or their officers about their research proposal will be disqualified.

4.2 Assessment Procedures

4.2.1 Conflicts of Interest

4.2.1

- The Government has endorsed the [Seven Principles of Public Life](#) set out by the Committee on Standards in Public Life (the Nolan Committee) for the benefit of all who serve the public in any way. Research Organisations must ensure that potential conflicts of interest in research are declared and subsequently managed.
- Full details of STFC's Code of Practice for Council, Committee, Advisory Board and Panel members can be found in [Essential Information](#) for Members of Council and Advisory Bodies.
- In the context of the peer review procedures for grant proposals, referees and panel members are asked to note the following guidelines extracted from the Code of Practice.
- Referees and panel members are required to disclose conflicts of interest, personal or institutional, where this arises in relation to a proposal they have been asked to assess.

- Referees and panel members should not participate in discussion or determination of matters in which they have a pecuniary interest.
- Referees and panel members should not participate in discussion or determination of matters that would suggest a real danger of bias. This should be interpreted in the sense that a referee or panel member might unfairly regard with favour, or disfavour, the proposal under consideration.
- In determining whether a real danger of bias exists, referees and panel members should assess whether they, a close family member, a person living in the same household, or a firm, business or other organisation with which they are connected are likely to be affected by his/her assessment of the proposal in question.
- Referees are required to make a statement at the end of every referee report to declare whether they have/have not any conflicts of interest. Failure to make this declaration will invalidate the report.
- STFC has also published specific guidelines for managing conflicts of interest in the peer review process. STFC expects peer review panels to follow these guidelines in the assessment of proposals and the allocation of funds or other resources. The [guidelines](#) apply to all individuals involved in any way in the peer review of proposals for funding.

4.2 Assessment Procedures

4.2.2 Review Procedures for Rolling Grants

4.2.2

- Rolling grants are normally awarded for a period of five years or more. They are reviewed at the date shown on the research grant announcement letter. At the review stage the Principal Investigator may:
 - seek support for a new replacement rolling grant, effective from the date of renewal; request additional support for the remaining period of the existing research grant;
 - decide that the existing rolling grant should continue for its remaining period with no additional resources.
- Where additional support is sought, a research grant proposal must be submitted, detailing the full support required for the period covered by the proposal. The case for support should be completed in accordance with the relevant programme guidelines.
- At the renewal stage, the resources in the remaining years of the existing rolling grant will be retained and may be added to any additional resources recommended by the Peer Review panel for the first two or three years of the new rolling grant.
- As part of the rolling grant review process the Research Organisation will be sent, one month prior to the review date, an Interim Expenditure Statement for completion and return to STFC by the date stated.
- Following assessment STFC will either:
 - agree to provide funding for a further period of support. In this case the existing rolling grant will be terminated at the renewal date. A new rolling grant, with a new reference number, will be announced for the new period;
 - decide that the existing rolling grant, with or without additional resources should continue over the originally announced period;
- The review and decision on the continuation of support for rolling programmes, or elements within the rolling programme may, at the discretion of STFC, involve a site visit by a review Panel.

4.2 Assessment Procedures

4.2.3 Formal announcements

4.2.3

- When a proposal has been approved for funding, the research grant will be announced as a formal offer of an award to the Research Organisation



Research Grants Handbook

Section 5: Seeking Resources

Directly Incurred Costs

Directly Incurred Staff Posts

Named Research Staff

Unnamed Research Staff

Other Directly Incurred Staff

Travel and Subsistence

Equipment

Examples of Equipment Costs

Other Directly Incurred Costs

Visiting Researchers

Directly Allocated Costs

Investigator Posts

Estates

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Indirect Costs

Exceptions

Studentships on grants

Case for Support - what to include

Justification of Resources within the Case for Support (CfS)

Length of the Case for Support

How to Complete the Pathways to Impact document

Applying for Funding using the Je-S system

5 Seeking Resources

5

- All costs that contribute to the fEC of the proposal should be included under one of the following cost headings.
 - [Directly Incurred](#)
 - [Directly Allocated](#)
 - [Indirect Costs](#)
 - [Exceptions](#)
- All costings should be at current prices, inclusive of VAT and other taxes where applicable, with no allowance for inflation. Any allowance for inflation that has been included in the full economic costing of the proposal by the Research Organisation must be excluded. The Research Councils will include an allowance for inflation if a grant is awarded.
- Resources to be provided by any project partners, whether in cash or in-kind contributions, should be clearly identified in the proposal. Research Councils will pay 80% of the total costs of the project excluding the project partner contribution. Project partner contributions in cash or in-kind should be seen as additional to the Research Councils' % contribution and are not considered part of the fEC of the project.

- The costs of a Principal Investigator's time in completing the final report may be included in the proposal, but the duration of the grant must remain within the terms of the type of proposal selected.

5.1 Directly Incurred Costs

5.1

Directly Incurred costs are explicitly identifiable as arising from the conduct of a project, are charged as the cash value actually spent and are supported by an audit record. They include:

- **Staff:** payroll costs requested for staff, full or part-time, who will work on the project and whose time can be supported by a full audit trail during the life of the project.
- **Travel and Subsistence:** funds for travel and subsistence for use by staff who work on the project where these are required by the nature of the work.
- **Equipment:** The cost of individual items of equipment dedicated to the project and costing more than £10,000 (including VAT). Items of equipment costing less than £10k should be requested under 'Other Costs'.
- **Other Costs:** Costs of other items dedicated to the project, including consumables, books, survey fees, purchase/hire of vehicles, publication costs or recruitment and advertising costs for staff directly employed on the project. Items of equipment costing less than £10,000 should also be included under this heading.

5.1 Directly Incurred Costs

5.1.1 Directly Incurred Staff Posts

5.1.1

- Directly incurred staff posts include all staff, full or part-time, who will work on the project and whose time can be supported by a full audit trail during the life of the project. For staff dedicated to one project, the payroll system provides a full audit trail. Staff whose time is dedicated to more than one project should use other time recording systems. e.g. timesheets.
- If a Principal Investigator or Co-Investigator is retired, the expectation is that their level of involvement in a project would be covered by a contract with the Research Organisation. The cost of their time attributed to the project is thus likely to be a Directly Incurred cost.
- Research staff, whether named or unnamed, should be requested at the salary level commensurate with the skills, responsibilities, expertise and experience necessary to carry out the proposed research activity.
- Applicants should provide details of the salary costs for the time to be spent working on the project. The total salary costs for any individual on all Research Councils grants and fellowships must not exceed 100%.
- All Directly Incurred staff must be justified in the Case for Support.
- Salaries and allowances, including employer's liability for national insurance and superannuation, should be at the current rates.
- Salary increments over the period of the project should be taken into account, but possible future pay awards should not be anticipated.
- Where it is expected that staff will be promoted during the lifetime of the grant provision may be made in the grant proposal.
- Where an individual will be working away from the Research Organisation on long-term secondment for a period in excess of six months (in total) during the lifetime of the project, estates costs should not be charged for the period of the secondment.
- Where the grant proposal is to be submitted before the Research Organisation has agreed the details of the new pay structures, the Research Councils expect that the proposal will be costed on the basis of the organisation's present pay structure. As part of the reconciliation process, additional funds for extra costs will be provided (less any savings made) arising specifically from assimilation to new pay arrangements which were not known at the time of application. Any additional funding will be based on the number and level of the staff posts agreed for the grant awarded.
- Further information can be found in the [Je-S System Help](#).

5.1 Directly Incurred Costs

5.1.2 Named Research Staff

5.1.2

- Funds for named research staff will normally be awarded at the level requested, though STFC reserves the right, if considered appropriate to the research responsibilities of the project, to offer support at an alternative level.
 - Named research staff carrying out the same programme of work they are currently carrying out, may not be cut from the grant if the post is funded: but their hours may be cut.
 - Named research staff may only be cut from a grant in favour of unnamed staff at a lower grade, if the post is a new named staff post and the reason is scientifically justified; or if the programme of work has changed and requires a different set of skills and experience.
- Proposals for funding for named research staff may seek provision for expected promotions during the lifetime of the research grant where the possibility is foreseen by the employing Research Organisation. The grounds have to be justified in the proposal and the promotion will be made in accordance with the policies and procedures of the employing Research Organisation. (The [Concordat](#) to Support the Career Development of Researchers).

5.1 Directly Incurred Costs

5.1.3 Unnamed Research Staff

5.1.3

- Funds for unnamed research staff will normally be awarded at the relevant salary scale normally awarded by the Research Organisation for a newly qualified Post Doctoral Research Assistant (PDRA).
- Provision may, however, be made for an appointment at higher points where the proposal so requests it and has made explicit, to the STFC satisfaction, that the research responsibilities would justify such an appointment and that the project would offer the opportunity for the future career development of a more experienced individual (The [Concordat](#) to Support the Career Development of Researchers.)

5.1 Directly Incurred Costs

5.1.4 Other Directly Incurred Staff

5.1.4

- Funds for named or unnamed **technical and computing staff**, who will undertake work directly related to the proposed project and whose time can be fully supported by a full audit trail during the life of the project may be sought as a directly incurred cost.
- Other non-research staff who will work on the project and whose time can be fully supported by a full audit trail during the life of the project e.g. **secretarial and administrative staff** may be sought as a directly incurred cost

5.1 Directly Incurred Costs

5.1.5 Travel and Subsistence

5.1.5

- Travel and subsistence costs for journeys, conferences and workshops that are directly related to the research project and will be undertaken within the grant duration can be sought as a directly incurred cost.

- Additional child care costs, e.g. for attendance at conferences and workshops that are directly related to the project, can be sought as a directly incurred cost.
- Travel costs should be in accordance with the rules of the Research Organisation. They should normally be based on the most suitable and economical form of travel, although STFC will consider funding more expensive, but less carbon-emitting, forms of travel where this is permitted by the Research Organisation's policies. However, the cost of carbon offsets is not an admissible cost on research grants.
- The costs of travel insurance should normally be included in the Indirect costs of the Research Organisation, but may be requested as a separate directly incurred cost where it can be shown that the cost arises specifically as a result of the project funded by the grant, is not covered by the existing institutional policies, and is separately identifiable and audited.
- For Visiting Researchers reasonable expenses will be paid for travel to and from the UK by the Senior Visiting Scientist, but travel and subsistence and childcare costs are not payable for their families. Subsistence expenses should be related to the individual circumstances of each case and the rates appropriate for visiting workers within the host Research Organisation.

5.1 Directly Incurred Costs

5.1.6 Equipment

5.1.6

- Funds for equipment, in excess of £10k (inclusive of VAT) may be sought as a directly incurred cost, provided that it is essential to the effective conduct of the research and is not available in the host Research Organisation. From 1 May 2011, single capital items of equipment costing less than £10k should be included in Other Directly Incurred costs.
- Equipment costs may cover the purchase of equipment outright, or in part, sharing across a number of projects where appropriate, contracting out a specific task or access to facilities essential for the research programme.
- Further justification for all items of equipment costing between £10k and the OJEU threshold will apply from 1 May 2011. Evidence will need to be provided of an evaluation of the use of existing relevant capital assets, and the Research Organisation will be expected to make a contribution.
- For single items of equipment over [OJEU](#) (including VAT and import charges), three quotes should be attached. The current OJEU limit can be found at the following link: <http://www.tenderingforcare.com/eu-procurement-thresholds-2012-to-2013>
- From 1 May 2011 a 2 page business case will be required for all items of equipment above the OJEU threshold value, outlining the strategic need for the equipment.
- The procurement of equipment, including maintenance must comply with all relevant national and EU legislation and the Research Organisation's own financial policy and procedures.
- The Research Organisation's own professionally qualified procurement staff should be involved in the procurement of equipment and services at or above £25,000, excluding VAT. The procurement staff must be consulted before the procurement process begins, and, where appropriate, at the market research stage, and must approve the order/contract before it is placed with the supplier. Additional documentary evidence for the estimated cost should be included with the proposal.
- Subject to STFC's prior approval, equipment costs associated with the construction of unique items of equipment (eg particle detectors for particle physics accelerators, instruments for spacecraft, facility development etc.) may be funded in full (i.e. at 100%), subject to actual expenditure incurred. If you think that an equipment request in your proposal may fall into this category, you **must** consult the appropriate Secretariat prior to the submission of your proposal.
- [Proc-HE](#) is the body responsible for developing and implementing the procurement strategy for UK Higher Education.
- Currently, the cumulative value of equipment in excess of £50,000, (including VAT) will automatically be entered under the 'Exceptions' heading in Je-S, but may be removed and paid at less than 100% unless the item is associated with the construction of unique items of equipment as outlined above.
- Equipment over £10k to be used for instrument development is not affected by the new rules. Such items will normally be funded at 100% although Councils reserve the right to request institutional contributions where appropriate.

5.1 Directly Incurred Costs

5.1.7 Examples of Equipment Costs

5.1.7

- Examples of equipment costs include:
 - the costs of purchasing/hiring/relocating all necessary equipment;
 - insurance and running costs;
 - equipment fully dedicated to the research project where costs exceed £10k e.g. laboratory/workshop equipment;
 - major equipment spares;
 - project dedicated software,
 - equipment installation charges e.g. delivery, calibration;
 - essential premises modifications e.g. provision of clean rooms, extensions to air conditioning.

5.1 Directly Incurred Costs

5.1.8 Other Directly Incurred Costs

5.1.8

- Other Directly Incurred Costs are items dedicated to the project, for example:
 - consumables. In most cases, office consumables such as photocopying, printing, postage, general transport costs, stationery, computer consumables and telephone costs, and also utilities costs, are not expected to be accounted for at the project level and should be found from indirect costs. However, items of this type may be charged as directly incurred where use is exceptional (for example, high electricity use). These exceptional costs would then need justification in relation to the research need; and there should be a clear statement indicating that these are separately accounted for and charged to the project as actual costs;
 - books and specialist publication costs;
 - predicted costs of dissemination of research outputs e.g. publication in author-pays journals, where these will be incurred during the period of the grant. Where these costs are likely to occur after the grant has ended, they should be included in the indirect costs of the Research Organisation;
 - recruitment and advertising costs for staff directly employed on the project;
 - field work;
 - reprint/page charges;
 - consultancy charges;
 - computer costs dedicated to the project; eg. specialist stationery supplies, software licences not associated with central computing facilities;
 - items of equipment costing less than £10,000 (including VAT) including replacement or upgrades of existing equipment;
 - equipment over £10k to be used for instrument development is not affected by the new rules. Such items will normally be funded at 100% although Councils reserve the right to request institutional contributions where appropriate.
 - equipment-related items (if not included as part of the Research Organisation's estates costs), eg maintenance; relocation; rental charges; access charges for major or small research facilities (specify the nature of the facility and the basis of charging: note that, in accordance with TRAC, the total FEC of a grant containing charges for use by the project of research facilities must not include any net depreciation costs if the facility was purchased with Research Council funding) The case for support should describe the service being sought, the usage and the basis of charging;
 - insurance costs. Insurance costs are expected in most cases to be covered by indirect costs, but may be requested as a separate directly incurred cost where it can be shown that the cost arises specifically as a result of the project funded by the grant, is not covered by blanket policies, and is separately identifiable and audited;
 - personal costs. Personal costs incurred by staff supported on the grant, such as relocation charges, home telephone/internet charges, etc. may be requested as directly incurred

costs if their reimbursement is consistent with institutional policy, they are specifically incurred by the research project and will be subject to an audit record;

- subcontractor costs should appear under other directly incurred costs and are paid at the standard 80% rate.

5.1 Directly Incurred Costs

5.1.9 Visiting Researchers

5.1.9

- Support may be requested to provide funding for senior scientists from the UK or overseas who are of acknowledged standing to visit and work in the Principal Investigator's institution for a period of up to twelve months.
- Support may be requested for specified individual visitors and general support for unspecified (usually short-term) visitors. The support requested should be justified in the Case for Support.
- STFC will only pay the salary of a Visiting Researcher for the time that they will be directly working on the project and requests should exclude any contributions from other sources. Visiting Researchers should receive the same salary and conditions as other staff of an equivalent status within the Research Organisation.
- Estates, infrastructure technician and Indirect costs may only be requested for individual visits in excess of 6 months, regardless of whether the support being requested includes a salary contribution or is only travel and subsistence. Estates, infrastructure technician and indirect costs should only be requested for the time the Visiting Researcher will be directly working on the project and should not be requested if they are already funded (for example by another Research Council grant to the Visiting Researcher's home institution).
- For Visiting Researchers reasonable expenses will be paid for travel to and from the UK by the Senior Visiting Scientist, but not for their families. Subsistence expenses should be related to the individual circumstances of each case and the rates appropriate for visiting workers within the host Research Organisation. The amount requested for the visit should be reduced if a contribution has been received from other sources, e.g. where the visit will be partly funded by the Visiting Researcher's own institution and/or is part of a longer stay.

5.2 Directly Allocated Costs

5.2

Directly Allocated: These are the costs of resources used by a project that are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis. They include:

- **Investigators:** Proposals will need to show the costs of Principal Investigator and any Co-Investigators (but not Researcher Co-Investigators, who should be included as a Directly Incurred cost) if their time will be charged to the project based on estimates rather than actual costs.
- **Estates:** These costs may include building and premises costs, basic services and utilities, and any clerical staff and equipment maintenance not already included under other cost headings.
- **Other Directly Allocated:** These costs may include, for example, the costs of technical staff or access to institutional research facilities such as equipment, IT systems and clean rooms.

5.2 Directly Allocated Costs

5.2.1 Investigator Posts

5.2.1

- It is a requirement of fEC costing methodology that for any one investigator, the amount of time that Research Councils will fund across all the projects they support is a maximum of 1650 hours a year (equivalent to 37.5 hours a week, 44 weeks a year).

- The total salary costs for any individual on all Research Council grants and fellowships must not exceed 100% FTE.
- Principal Investigators, Co-Investigators and Fellows whose time and salaries have already been wholly awarded in the fEC funded from other research or fellowship grants provided by the Research Councils should still indicate their level of involvement in a new proposal, but with zero hours charged to the grant.
- Under fEC, research grants or fellowships will not be funded on the basis of replacement teaching costs. Where an investigator, named in an fEC proposal, already has part of his or her time funded through pre-fEC replacement funding, the value of this funding should be counted as a contribution to his or her salary costs. The total amount of salary funding received for the individual, including this replacement funding, should not then exceed 100% of their salary cost, across all grants. However, since indirect and estates costs would not normally be covered by a pre-fEC grant or fellowship, all the time spent on an fEC grant may be used by the Research Organisation in determining the indirect and estates costs, provided that, summed across all fEC grants, the time counted does not exceed 37.5 hours a week (pro rata for part-time).
- Principal Investigators and Co-Investigators whose time is not fully funded on other Research Council grants, but who are not paid a salary by the Research Organisation (eg Emeritus or honorary staff) should indicate the number of hours attributed to the project, but with a zero salary cost request.
- Salary increments over the period of the project should be taken into account, but possible future pay awards should not be anticipated.
- Where it is expected that individuals will be promoted during the lifetime of the grant, provision may be made in the grant proposal.
- If a Principal Investigator or Co-Investigator is retired, the expectation is that their level of involvement in a project would be covered by a contract with the Research Organisation. The cost of their time attributed to the project is thus likely to be a Directly Incurred cost.
- All investigators for whom funding is sought must be named in the proposal. STFC will not provide funds in respect of unnamed investigators, for example where an appointment is expected but the identity of the appointee is unknown at the time of application.

5.2 Directly Allocated Costs

5.2.2 Estates

5.2.2

- Estates costs may include building and premises costs, basic services and utilities and any clerical staff and equipment maintenance not already included under other cost headings.
- Estates costs should be shown as a single figure (£ total for the project) and do not need to be justified in the Case for Support.
- Research Organisations that have passed the Quality Assurance (QA) process and implemented the TRAC costing methodology should apply their own estates rates.
- Those Research Organisations whose implementation of TRAC is not considered robust by the QA process, and who are not eligible for dispensation, **must not charge estates costs**.
- Research Organisations that adopt the dispensation available to institutions with very low volumes of research income from public sources should apply the [dispensation default rates](#) for their estates (laboratory and non-laboratory) costs.
- Non-university organisations that are not required to implement TRAC must have a robust costing methodology in place that has been validated by the Research Councils in order to apply their own estates rates.
- Non-University organisations that have not yet had their costing methodology validated by the Research Councils should apply the [dispensation default rates](#) for their estates (laboratory and non-laboratory) costs.

5.2 Directly Allocated Costs

5.2.3 Other Directly Allocated Costs

5.2.3

- These costs may include, the costs of shared resources including:

- specific (named or unnamed) technician posts
- pooled staff: technicians, secretarial and computing staff who are part of a staff pool supporting a range of facilities and projects. Where these costs cannot be separately identified they should be included under the Estates heading;
- infrastructure technicians: staff providing general non-project-specific support for the research infrastructure, charged on the basis of a per-research FTE rate;
- research facilities: charge out costs for access to shared major and small research facilities. Note that, if the facility was purchased from Research Council funding, the relevant depreciation element in the charge out cost should, in accordance with TRAC, be deducted from the estates charge out cost so that the total FEC of the project includes no net charge for this depreciation.

5.3 Indirect Costs

5.3

- Indirect Costs include non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of the Research Organisation's administration such as personnel, finance, library and some departmental services.
- They should be shown in the proposal as a single figure (£ total for the project) and do not need to be justified in the Case for Support.
- Redundancy costs are covered by the Cost Of Capital Employed (COCE) element and should be included within the Indirect costs.
- The FTE used as the multiplier for indirect costs associated with a project must include Research FTE only (and not technicians).
- The cost of preparing proposals should be taken into account in the indirect cost calculations, as part of research support activities.
- Research Organisations that have passed the Quality Assurance (QA) process and implemented the TRAC costing methodology should apply their own indirect cost rates.
- Those Research Organisations whose implementation of TRAC is not considered robust by the QA process and who are not eligible for dispensation **must use the lower of their own or the non-compliant indirect cost rate.**
- Non-university organisations that are not required to implement TRAC must have a robust costing methodology in place that has been validated by the Research Councils in order to apply their own indirect costs rate.
- Non-University organisations that have not yet had their costing methodology validated by the Research Councils should apply the [dispensation default rates](#) for their indirect costs.
- Other Non-University organisations who have not yet had their costing methodology validated by the Research Councils or other Research Organisations that adopt the dispensation available to institutions with very low volumes of research income from public sources should apply the [dispensation default rates](#) for the indirect costs.

5.4 Exceptions

5.4

- Exceptions are Directly Incurred costs that Research Councils will fund in full (i.e. at 100%), subject to actual expenditure incurred, or items that are outside fEC.
- The cumulative value of equipment in excess of £50,000, (including VAT) will automatically be entered under the 'Exceptions' heading in Je-S, but may be removed and paid at less than 100% unless the item is associated with the construction of unique items of equipment as noted below.
- Subject to STFC's prior approval, equipment costs associated with the construction of unique items of equipment (eg particle detectors for particle physics accelerators, instruments for spacecraft etc.) may be funded in full (i.e. at 100%), subject to actual expenditure incurred. If you think that an equipment request in your proposal may fall into this category, you **must** consult the appropriate Secretariat prior to the submission of your proposal.
- Student maintenance and tuition fees on studentships supported on research grants will be met in full (100% of fEC) under the Exceptions heading.

5.5 Studentships on grants

5.5

- STFC may fund PhD studentship projects as part of the broader programme of work supported by the grant.
- The intention of these project studentships is to help research groups to capitalise on any excellent student-training opportunities within the proposed grant supported research programme.
- Applicants must be able to clearly show that the studentship project is closely associated with the programme of work to be undertaken as part of the grant proposal. The Case for Support should explain how the project will be integrated into the broader aims of the grant and how this integration will be of benefit to the training of the research student.
- Studentship projects that do not have such a close and direct relationship with a grant-funded research project may be more appropriate for an STFC quota studentship.
- A studentship project must provide the student with the training in the methods of research associated with the work to be undertaken on the research grant.
- The student must have the opportunity to undertake broader skills training during the course of the PhD.
- A studentship should be for a minimum of three years and may be up to a maximum of four years.
- Student maintenance and tuition fees will be funded at 100% under the Exceptions heading and are set at the level agreed for Research Council studentships each year. If universities set a higher fee than that paid by STFC (for example, to include Oxbridge college fees), the funds to cover this would have to be vired from the directly incurred costs awarded in accordance with the rules for virement.
- The funds requested for the student should be for the total period of each studentship using the current rates for maintenance and tuition fees.
- Other resources for the student such as travel (UK and overseas fieldwork), consumables and equipment should be estimated and listed under the appropriate fund heading in the proposal and will be funded at 80% of full economic cost (fEC).
- Student supervision time should not be included in the costs of investigator time requested on the proposal.
- There are no constraints on the nationality of project students.
- If funds are vired within a grant to pay for a project student, the Research Organisation should have a proper training programme in place. If the project studentship will need to continue after the grant has finished, the Research organisation will be responsible for funding or finding funding to ensure the training programme is completed. If sufficient funds have been vired to cover the whole of the training programme, the Research Organisation may request a no-cost extension to complete the programme.
- Permission must be sought from the relevant secretariat to delay the start of a project student on a rolling grant award.

5.6 Case for Support - what to include

5.6

- The completed proposal should be accompanied by a self-contained case for support. Applicants should refer to the guidelines for the scheme for which they are applying, taking particular note of the [assessment criteria](#) that will be used by the research grants panels in assessing their proposal.
- The case for support should include the following:
 - the underlying rationale and scientific/technological issues being addressed and the potential scientific, practical and socio-economic benefits;
 - specific objectives of the project, including their potential relevance to UK and international research work in the field, relevance to the STFC mission and anticipated achievement;
 - programme and plan of research showing what alternatives have been considered and why the proposed method is preferred;
 - proposed management of both the project and resources, identifying the training and career development opportunities for personnel working on the project (The [Concordat](#) to Support the Career Development of Researchers);

- the relationship to any earlier or current work of the applicant(s) and/or collaborating organisation(s) and any relevant work elsewhere, together with a brief summary of progress to date on any related STFC research grant(s);
- the research experience of the applicant(s) and any collaborators;
- **all costs associated with the research project must be justified, with the exception of estates costs, indirect costs, infrastructure technician costs and the unit cost of TRAC-determined elements such as investigator salary costs or research facility charge-out costs; although the amount of resource required does need to be justified.** Applicants should explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed. Note that it is not sufficient merely to list what is required. Applicants should have regard for the breakdown of costs into the summary fund headings Directly Incurred and Directly Allocated.
- applicants for one or more project studentships should describe the type of PhD projects available for students, set out why the projects are suitable for training students in the methods of research associated with the programme and explain how the wider needs of the students will be met.
- the likely exploitable results and any arrangements with third parties for exploitation;
- proposals for the wider dissemination of the results especially those relating to the wider public understanding of science.

5.6 Case for Support - what to include

5.6.1 Justification of Resources within the Case for Support (CfS)

5.6.1

The role of the CfS is to aid reviewers when assessing proposals so that they can make an informed judgement on whether the resources requested are appropriate for the research posed.

The CfS should explain why the resources requested are appropriate for the research proposed taking into account the nature and complexity of the research proposal. It should not be simply a list of the resources required as this is already given in the Je-S form. Whether the grant is a large programme grant or a small travel grant, all items requested in the JeS form must be justified in the CfS.

Any proposals requesting items that would ordinarily be found in a department, for example non-specialist computers, should include justification both for **why** they are required for the project **and** why they cannot be provided from the research organisations own resources (including funding from indirect costs from grants).

The CfS is a free text document. So that you don't miss any costings from the JeS form or any justifications for the items requested, we recommend that you match the costs to the proposal headings below (where appropriate).

Cost to the proposal	Justification needed	Questions to consider & answer in the Case for Support
Staff – directly incurred posts		
Researcher/Technician	- need to justify why a researcher is needed for the proposed work and why the proposed time input is appropriate.	Is the work of appropriate scientific content or technical difficulty to warrant employing a Research Assistant (RA)? Why has the level requested for the RA been asked for?
Staff – directly allocated posts		
Principal Investigator (PI) Co-Investigator (Co-I) and Researcher Co-	- The time that the PI and Co-I spend on the grant has to be justified. - A PI or Co-I can not request time for supervising postgraduate research	How much time do you intend to dedicate to the project? Will you be doing all the research yourself? What work packages are the PI and Co-Is involved with and why? Have you factored in enough time

Cost to the proposal	Justification needed	Questions to consider & answer in the Case for Support
Investigator time	students, writing publications after the end of the project, writing grant applications or peer review.	to work with project partners, visiting researchers and other collaborators? Are you only managing the staff on the project?
Travel and Subsistence	- need to give a full break down of the costs in the JeS form for example how many people are travelling and where are they going and why?	If you are planning to visit people to discuss your research, you should explain why those are the right people to talk to and how they can contribute to you meeting your objectives. If you plan to attend conferences, you should comment on the advantages of conference attendance and give an indication of the number you want to attend during the grant, who will attend these and the type you want to go to – national/ international/ general/subject specific etc. Travel costs incurred when using facilities should be included where necessary.
Other Directly Incurred Costs	- need to give a description of what has been requested and why? - every item requested must be justified	You must justify the need for any equipment requested You need to explain what the computers will be needed for and also justify the cost. If you are asking for a desktop and a laptop, then justify why both are needed. It is expected that the University will provide computers and laptops for the PIs and Co-Is and other research staff on continuing contracts. You must provide a breakdown of any costs which are included for bulk items
Other Directly Allocated Costs	In some cases, such as use of internal facilities and shared staff costs, the basis of the costing doesn't need to be justified, but the need for the resources does	You need to explain what these are and why you need to use them.
Estates & indirect costs	- do not need to be justified	
Research Facilities (at Research organisations)	- only time needs to be justified	You need to explain what you are using the facility for and why you need to use this particular facility.
Pooled Technicians	- for example workshop or laboratory technicians based at the University. Usually not named	You need to explain why you are using a pooled technician and justify the amount of resource requested.
Infrastructure Technicians	- for example Health and Safety Officer at University. Cost should be displayed separately to Estate and	

Cost to the proposal	Justification needed	Questions to consider & answer in the Case for Support
	Indirect costs in the other Directly Allocated costs box. This cost does not need to be justified.	
Exceptions		
PhD student	- need to justify why a PhD student is needed for the proposed work	Will a student be skilled enough to tackle the research problems, and will they in all likelihood get a thesis out of it?
Equipment over £50k	- need to justify all equipment. Currently the cumulative value of equipment in excess of £50k (including VAT) will be automatically entered under the "Exceptions" heading in Je-S, but may be removed and paid at less than 100% unless the item is associated with the construction of unique items of equipment. See section 5.4 regarding equipment costs associated with the construction of unique items of equipment.	Why do you need this equipment for this proposed research? What will it be used for and who will be using it?

5.7 Length of the Case for Support

5.7

- As the length of the case for support may vary from panel to panel, applicants should check precise requirements in the [Astronomy](#) , [Particle Physics](#) [Nuclear Physics](#), [Facility Development](#) or [Knowledge Transfer](#) guidelines.

5.8 How to Complete the Pathways to Impact document

5.8

A "Pathways to Impact" document (of a maximum of two pages) is required for all consolidated grant applications received through the Standard and Facility Research & Development Panel (FRDP) schemes.

The Pathways to Impact document is your opportunity to describe how the potential impacts of this research will be realised.

It should continue on from the two questions addressed within your Impact Summary i.e. a) Who will benefit from this research? b) How will they benefit from this research? (for guidance see Je-S help text, Guidance on completing a Standard Grant Proposal, Impact Summary) by addressing the following question:

- What will be done to ensure that potential beneficiaries have the opportunity to engage with this research?

The Pathways to Impact are specific to users and beneficiaries of the research who are outside of your immediate academic research community, for example the public sector, commercial private sector, third sector (voluntary and community groups, social enterprises, charities, cooperatives and mutuals) or the

wider public in general. Plans for engaging with academic audiences may be included, but only where these form part of the critical pathway towards economic and societal impact. This pathway must be clearly articulated.

Such a document is intended to encourage thought on these matters and initiate the exploration of possible routes of engagement, rather than demanding firm proposals at this stage.

The plans should show clearly which activities can be considered to be `Knowledge Exchange` - activities intended to reach out to those working within other academic disciplines, the public, private, and third sectors; collaboration with whom may lead to technological, scientific or commercial developments; and those considered to be `Outreach` - activities intended to help better engage the public, schools or opinion formers with the research being undertaken.

Please detail how the proposed research project will be managed to engage users and beneficiaries and increase the likelihood of impacts. The extent of your Pathways to Impact Plan for both knowledge exchange and outreach will depend upon the nature of your research but, where possible please consider and address the following for each:

Communications and Engagement

Please identify the different beneficiaries of the Pathways to Impact activities and describe engagement with said beneficiaries, for example:

- With whom could you be effectively engaging in terms of knowledge exchange and outreach e.g. researchers from other academic disciplines and industrialists for the exchange of ideas and results; or, the public, teachers and school students for activities intended to raise awareness of, and enthusiasm about the research.
- How have beneficiaries been engaged to date, and how will they be engaged moving forward?
- How will the work build on existing or create new links?
- Outline plans to work with intermediary organisations or networks.

What activities will be undertaken to ensure good engagement and communication? For example:

- Secondments of research of user community staff;
- Events aimed at a target audience
- Workshops to provide training, information or dissemination
- Publications and publicity materials summarising main outcomes in a way that beneficiaries will be able to understand and use.
- Websites and interactive media
- Media relations
- Public affairs activities, possibly including local opinion formers e.g. MPs
- Developing resources for schools or teachers
- interaction with university technology transfer office

Collaboration

Explain how collaborations and partnerships within the proposed project or research will be managed, including:

- Roles and responsibilities of all parties in relation to impact;
- Nature of the relationships - e.g. established or newly formed;
- Nature, value and significance of any contributions to the proposed project; and
- Details of any formal collaboration agreements or future plans for collaboration agreements.

Exploitation and Application

Identify the mechanisms in place for potential exploitation, both commercially and non-commercially:

- Do you have any specific partnership, collaborative or exploitation agreements in place?
- How will the outputs with potential impact be identified?
- What structure and mechanisms can you put in place to exploit and protect the outputs from the research, during and at the end of the grant lifecycle?

Capability

Who is likely to be undertaking the impact activities? For example:

The PI or Co/I; PhD students and post-doctoral researchers who may be involved in activities in addition to research; specialised staff employed to undertake communication and exploitation activities; and, technical experts to write publications, web pages and user-friendly interfaces.

What previous and relevant experience do they have in achieving successful knowledge exchange and impact? How will they acquire the skills? What training courses have been considered e.g. media awareness or public communications?

Resource for the activity

If there are any resource implications as a result of implementing the knowledge exchange and/or outreach activities, please ensure these are stated in your Pathways to Impact document.

If the panel feels that your identified resource needs for the impact work are justified, you will be encouraged to submit a proposal to one of a range of schemes that provide support for those engaging in knowledge exchange or outreach activities. Many of these are for specific projects that would be undertaken in addition to the regular engagement activities that could be considered to form part of the grant e.g. attendance at Innovations Club meetings; participation in the 'Researchers in Residence' schools programme; or linking in to the departments overall outreach programme. The schemes are competitively peer-reviewed and STFC cannot guarantee funding.

Where appropriate the Innovations team will maintain contact with applicants throughout the project to identify and provide information on funding schemes to develop knowledge exchange.

Applicants should request and justify the **project-specific** resources needed to achieve their Pathways to Impact. Applicants may request resources for public engagement work in grant applications, and should also note that grant-holders may *in addition* spend up to 1% of total grant value up to a maximum of £10k on public engagement if savings are subsequently found. The STFC also runs separate funding schemes to support impact activities, including knowledge exchange and public engagement. For knowledge exchange work, applicants should apply to one of its other schemes for funding and cannot request resource in a grant application.

Should you need advice to help you complete the attachment, for matters regarding knowledge exchange go to www.stfc.ac.uk/Business+Innovation/19433.aspx; and, for matters regarding outreach activities, go to www.stfc.ac.uk/Public+and+Schools/1286.aspx.

5.9 Applying for Funding using the Je-S system

5.9

- Research proposal submissions should be made electronically, using the [Je-S system](#).
- Using Je-S, researchers and administrators can prepare research grant proposals on-line. It is also possible to download a proposal for off-line working, uploading the completed proposal prior to submission.
- To apply using the Je-S system, organisations and applicants must be registered users. Organisations must be registered before individuals can register as a user. Once registered, users will be issued with a userID and password.
- Further information and guidance on the Je-S system is available in the [Research Administration Programme web site](#). It is also possible to access the system's help text from the [Je-S login screen](#).
- The Je-S Helpdesk can assist with queries regarding the issue of user IDs and passwords, or navigation of the system. If you need any help, advice, or are having technical difficulties, please contact the Helpdesk.
- The Je-S Helpdesk can be contacted by telephone on (01793) 444164 or by emailing <mailto:JesHelp@rcuk.ac.uk>.
- The Helpdesk is manned Monday to Friday between 9 am and 5 pm (except for Bank Holidays). Voice mail operates outside of these hours.
- All proposals must be accompanied by a Case for Support. Further guidance and information can be found in the [appropriate grant scheme](#) on the STFC web site.
- When preparing any proposal for a STFC Research Grant, please take account of the [closing date](#) for the scheme to which you are applying.

- The deadline for submission is 4pm on the closing date. **Closing dates will be strictly enforced.**
- Receipt of proposals will be acknowledged. The acknowledgement will provide the applicant with the name of their contact within STFC for all enquiries concerning their proposal.
- Research Organisations must not submit any further material or amendments after the closing date, unless notified by the Je-S system that an amendment is required. The proposal should be amended as requested and re-submitted by the due date given. The original grant reference will be retained. Failure to comply with the amendment request will lead to disqualification.
- Canvassing of members of the Peer Review Panel will lead to disqualification.
- STFC reserves the right not to consider a proposal.



Research Grants Handbook

Section 6: Administration of Research Grants

Research Governance

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Maternity, Paternity, Adoption, Parental and Long-Term Sick Leave

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Equipment

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Indirect Costs

Science and Society

Virement of Funds

Transfer of a Grant Between Research Organisations in the UK

End of a Research Grant

Final Report

Sanctions

6 Administration of Research Grants

6

- This section is intended to give clear guidance and information to all applicants and those responsible for the post award administration of grants. If any further advice or clarification relating to any research grant is required, please contact the appropriate secretariat in the first instance.
- General enquiries relating to this handbook should be sent to grantspolicy@stfc.ac.uk

6.1 Research Governance

6.1

- It is the responsibility of the Research Organisation to ensure that the research is organised and undertaken within a framework of best practice that recognises the various factors that may influence or impact on a research project.
- Research grants are awarded to Research Organisations on the understanding that both the Research Organisation and the investigator(s) will comply with the grant conditions governing research grants. The conditions covering all research grants are set out in [section 9](#). STFC may also attach additional and/or specific conditions to any research grant it awards.
- The Research Organisation is required to employ the same methods to secure economy and efficiency with research council funds as are practised for projects financed from Higher Education

Funding Council (HEFC) funds. Any instruction or [guidance issued by the HEFC](#) for the management and control of funds should be followed.

- STFC regards the Research Organisation as the employer and, as such, the Research Organisation is responsible for the contracts of employment, of staff employed on research grants and consequently for their health and safety and for any redundancy or other compensatory payments which may arise.
- The Research Organisation must provide research staff with a statement at the outset of their employment, setting out the provisions for career management and development, including personal skills training, and ensure that they have access to appropriate training opportunities.
- The Research Organisation should ensure that all necessary permissions are obtained before research begins, and that there is clarity of role and responsibility among the research team and with any collaborators.
- STFC expects research to be conducted in accordance with the highest standards of research integrity and research methodology.

6.2 Announcement of a Research Grant

6.2

- When a proposal has been approved for funding, the research grant will be announced as a formal offer of an award to the Research Organisation.
- Where staff resources have been revised following peer review, the Research Organisation will be asked to provide revised figures for estates, infrastructure technicians and indirect costs. The Research Organisation should provide the revised figures within ten working days. The original rates, used at the time the proposal was completed, should be used for recosting, even if the rates have changed since the original submission. Where Research Organisations fail to comply with this request, the Research Councils will revise estates, infrastructure technicians and indirect costs on a pro rata basis.
- The announcement will give full details of the funds awarded and any additional or specific conditions associated with the research grant.
- The formal announcement will be sent to the Research Organisation administrative authorities, copied to the Principal Investigator and any Co-Investigators.
- The formal announcement of a research grant will give an expected start date and end date of the research grant.
- The formal announcement of a research grant will be accompanied by:
 - a starting certificate - which gives the research grant reference, the investigator(s) name(s) and proposed start and end dates of the research grant;
 - a schedule of profiled payments - which sets out the pattern of quarterly payments that STFC undertakes to make throughout the lifetime of the research grant

6.3 Funding Limitations

6.3

- Grant funds include a provision for inflation based on the GDP Deflators published by HM Government for anticipated future pay awards, merit pay and inflation.
- The value of the grant may be varied by the STFC during the lifetime of the grant in accordance with the deflators or to take into account other Government decisions affecting the funding available to the STFC.
- No provision for inflation will be made for equipment costs.
- There will be no increase to research grant funds with the following exceptions:
 - [maternity, paternity, adoption, parental and long term sick leave](#)
 - extra costs (less any savings made) arising specifically from assimilation to new pay arrangements which were not known at the time of application

- Research grant funds are provided for a specific research project and can only be used for activities which fall within the duration of the grant. **Under no circumstances may Directly Incurred and Exceptions funds be used to meet the costs of any other grant or activity.**

6.4 The Starting Certificate

6.4

- The Starting Certificate gives the research grant reference, the investigator(s) name(s) and proposed start and end dates of the research grant.
- The start of a research grant is defined as the date on which the first member of staff paid on the grant starts work, or, if there are no staff or if staff are intended to commence later in the project, the date on which expenditure under another heading is first incurred.
- Where staff are intended to commence later in the project and the applicant intends to start the grant with expenditure under any other heading, prior approval from the relevant STFC Secretariat should be sought.
- Notification of the start date, by submission of the Starting Certificate, will constitute acceptance of the grant and will activate the profiled payments.
- The Research Organisation should indicate on the Starting Certificate what action has prompted the start of the award. Submission of the starting certificate is required **not more than 42 days after the actual start date.**
- The Starting Certificate should not be completed in advance of the start of the research grant.
- The start of research may be delayed by up to six months after the start date stated in the award letter, the duration of the grant remaining unchanged. **After this time the offer of a research grant will lapse.**
- Where STFC revises a research grant to take account of new circumstances e.g. change in programme, the Research Organisation will be provided with a 'Restarting Certificate' which should be completed and returned to STFC as soon as possible so that payments may resume.

6.5 Extensions to Research Grants

6.5

- The duration of a research grant may be extended, within the cash-limited award, by up to six months, subject to prior written approval. All requests should be submitted via the Je-S maintenance facility as soon as the requirement is identified, following consultation with the appropriate Secretariat. All requests for extensions should be made before the grant ends.
- Extensions may be requested where, for research staff supported by the grant, there have been breaks or delays in their appointment or to cover periods of paid maternity, paternity, adoption and parental leave, extended jury service or sick leave exceeding three months (or possibly shorter periods of sick leave if the member of staff is disabled for the purposes of the [Disability Discrimination Act 1995](#) (as amended)).
- Extensions may also be permitted to cover other, exceptional, circumstances and, in certain cases, STFC may agree an extension of up to 9 months, provided this does not compromise financial planning or the timeliness of the research.

6.6 Changes to the Research Project

6.6

- STFC normally expects a project funded by a research grant to continue until the end of the period for which the award was made.

- STFC must be consulted in the event of any major change in the proposed research, including failure to gain access to research facilities or services, that make it unlikely that the objectives of the research will be achieved. If appropriate, revised proposals may be required, but STFC reserves the right to make a new grant in place of the existing grant, or to revise, retain or terminate the existing grant.
- In the event of early termination or reduction in value, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted, but, subject to the provisions of [GC16](#), negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grants.
- Grants terminated within six months of the original end date will not suffer a reduction in payment of Estates and Indirect Costs, but Investigators' costs and Other Directly Allocated costs will be reduced pro rata. For grants terminated at an earlier stage, all Directly Allocated and Indirect costs will be reduced proportionately.
- It is the responsibility of the Research Organisation to manage the resources on the grant, including the staff, and the STFC need not be consulted if staffing levels on the grant are changed. However, a proportionate reduction should be made in the value of Estates, Indirect Costs and Infrastructure Technicians claimed by the Research Organisation in the following circumstances:
 1. a post that attracts these costs is not filled;
 2. a staff member who attracts these costs leaves more than six months before the end of the period for which the post was funded and is either not replaced, or is replaced by a category of staff that does not attract the costs e.g. project student or technician.

6.7 Payment of Research Grant Funds

6.7

- The funds awarded will be paid to the Research Organisation by profiled payments. These are predefined payments over the lifetime of the research grant based on an expected pattern of expenditure.
- STFC reserves the right to amend the payment profile at its discretion. The Research Organisation will be advised, in advance, of any such change. Changes to payment profiles may affect the overall value of the grant.
- Payments will start once STFC has received a completed starting certificate. The Research Organisation will receive one payment transaction in respect of all research grant profiles due for payment in each quarter. Payments will be made by Bankers Automated Clearing Services (BACS).

Documentation provided by STFC and associated with the payment of funds on research grants includes the following:

- **Annual Statement** - a statement of the research grant payments made to the Research Organisation in the previous financial year. The Research Organisation must certify, by returning the statement that the expenditure shown has been and will be incurred in accordance with grant conditions, and those grants shown as current are continuing. No further payments will be made until STFC has received this confirmation.
- **Interim Expenditure Statement** (most commonly produced for rolling grants) - issued to the Research Organisation for completion when a current research grant is due to be reviewed, or revised. It is a requirement for all grants that are more than 14 quarters (42 months) in duration, except those that last more than 42 months due to a no-cost extension, that Interim Expenditure Statements are completed. Profiled payments will be suspended until the Interim Expenditure Statement has been received and accepted by STFC. Research Organisations registered for Je-S will receive the Interim Expenditure Statement through the Je-S system.
- **Final Expenditure Statement** - issued to the Research Organisation one month prior to the end date of the research grant, for completion of all expenditure details during the currency of a research grant. The statement must be completed, and returned to STFC within three months of the end date of the research grant. Research Organisations registered for Je-S will receive

the Final Expenditure Statement through the Je-S system. The final profiled payment will be withheld pending receipt of the completed Final Expenditure Statement.

- **Final Report** - where required, will be provided to the Principal Investigator by STFC one month prior to the end date of the research grant, for completion and return within three months of the end date of the research grant. Principal Investigators who are registered on Je-S will receive and may complete their report through the Je-S system.
- **Final reconciliation of the funds awarded on a research grant will not take place until both the Final Expenditure Statement and Final Report, where required, have been received by STFC. Failure to comply with these requirements may result in [financial sanctions](#).**
- Research Organisations registered for Je-S can check due dates for interim and final expenditure statements and for final reports through the status reporting facility.

6.8 Directly Incurred Staff Posts

6.8

- The funds awarded on a research grant are cash limited at the time the research grant is announced, and include provision, based on Government revaluation indices, for anticipated future pay awards, merit pay and inflation.
- Staff whose salaries are chargeable to the research grant must be appointed by the Research Organisation on the same salary and employment conditions as other similar posts in the Research Organisation (The [Concordat](#) to Support the Career Development of Researchers, section A, paragraph 5).
- If a named research assistant, funded on a research grant fails to take up, or subsequently resigns from their appointment, STFC may require the post to revert to the relevant salary scale normally awarded by the Research Organisation for a newly qualified Post Doctoral Research Assistant (PDRA) unless STFC's prior written approval is given to a new appointment at a higher level. Funds provided for a higher level appointment may not be used for any other purpose.

6.9 Maternity, Paternity, Adoption, Parental and Long-Term Sick Leave

6.9

- Additional funding will be provided to meet any net costs of paid maternity, paternity, adoption, parental and paid sick leave for staff within the Directly Incurred and Exceptions fund headings if this cannot be found within the cash limit of the grant and if the staff fulfill the relevant qualifying conditions of the employing Research Organisation. The net cost is the amount paid to the individual less the amount the Research Organisation can recover for the Statutory Maternity Pay, Statutory Sick Pay and Statutory Adoption Pay from HMRC.
- Maternity, paternity, adoption, parental and sick pay is payable by STFC only for directly incurred staff that are funded for 100% of their contracted time on the grant. However, directly incurred Principal and Co-Investigators are only eligible if they are also Research Fellows or Research Assistants funded by the grant.
- These additional costs should be claimed as necessary at the end of the research grant under the fund heading 'Directly Incurred Other' on the final expenditure statement, with an attachment detailing the type of absence, date and cost.
- The Research Organisation is responsible for any liability for maternity, paternity, adoption, parental or sick pay for staff supported by the research grant outside the original period of the grant.
- In addition, grant funds, within the cash limit, may be used to meet the costs of:
 - Making a substitute appointment to compensate for the whole, or part of a period of maternity, paternity, adoption, parental or sick leave for a researcher funded by an STFC grant;

and/or

- extending the duration of a research grant, up to the maximum allowable (ie six months), to cover for periods of maternity, paternity, adoption, parental or sick leave. Directly Allocated and Indirect funds will not be increased as a result of these extensions.
- Where there is a continuous period of sick leave in excess of three months, the Research Organisation should contact STFC to discuss the possibility of a substitute appointment to safeguard progress on the project, or an extension to the duration of the project, if the period of sick leave can be predicted. Where a Research Assistant has been on sick leave in excess of three months the Research Organisation must comply with all their obligations to consider reasonable adjustments before making a substitute appointment. Where a Research Assistant has been on sick leave for an aggregate (not necessarily continuous) period in excess of three months, where this is due to a single condition or a series of related conditions, the Research Organisation may request an extension to the duration of the grant.
- Any request for time extensions on the grounds of maternity, paternity, adoption, parental or sick leave should be made to the appropriate Secretariat **as soon as the need is known**.

6.10 Travel and Subsistence

6.10

- Travel and subsistence funds may only be used for the project for which they have been approved. The allocation for travel and subsistence is primarily for use by the named applicant(s) and staff who are supported by the research grant although, individuals contributing to the aims of the project may, if the PI agrees, make use of the travel and subsistence funds awarded. However, the funds may not be used to support a scientist or engineer visiting the institution from elsewhere in the UK or abroad. Funds for this purpose may be sought by applying for a [Visiting Researcher](#).
- Provision for conference attendance, not requested at the time of application, may be made from this heading.

6.11 Equipment

6.11

- Equipment is provided for use on the project which has been approved for funding by STFC.
- On standard research grants it is expected that equipment will be purchased within the first twelve months. Equipment may not be purchased in the final six months of a standard research grant without the prior, written, approval of STFC. STFC will wish to be assured that the item of equipment is essential to the research.
- Equipment purchases funded from a research grant will normally become the property of the host Research Organisation provided that the investigator(s) whilst employed at that Research Organisation, has free access to, and use of, the equipment during the lifetime of the research grant.
- In certain circumstances, STFC may wish to retain ownership of equipment throughout the period of the grant and possibly beyond. In such cases the research grant will be subject to an additional condition.
- Reimbursement for items of equipment will be included in quarterly profiled payments to the Research Organisation over the first year of a standard research grant or over three years of a rolling grant.

6.12 Directly Allocated Costs

6.12

- The Directly Allocated costs will normally be paid in full at the level stated in the research grant announcement letter, with the exception of grants that have been transferred between organisations (where a pro rata reduction is made at the time of transfer) and grants subject to premature termination or financial sanction.

- Where a grant terminates within 6 months of the planned end date, estates and Indirect Costs will be paid in full, but Investigators' costs and Other Directly Allocated Costs will be paid pro rata.

6.13 Indirect Costs

6.13

- Indirect costs will be paid in full at the level stated in the research grant announcement letter, with the exception of grants that have been transferred between organisations (where a pro rata reduction is made at the time of transfer) and grants subject to premature termination or financial sanction.
- Where a grant terminates within 6 months of the planned end date, estates and Indirect Costs will be paid in full, but Investigators' costs and Other Directly Allocated Costs will be paid pro rata.

6.14 Science and Society

6.14

- Principal Investigators may, where savings elsewhere on the research grant permit, spend funds to promote the public understanding of their science.
- Such expenditure should be shown under the appropriate fund heading on the FES and could include:
 - travel and subsistence for staff to visit schools, clubs, societies or media organisations, to give talks, to describe the science or to do work related to the science in the research project with teachers or children;
 - the salaries of staff who will spend some time building exhibits, models or demonstrations for use in publicising science; costs of short training courses in science communications for staff; the salary of a secretary or administrator hired to support the publicising programme;
 - costs of materials, such as slides, photographs, videos, exhibition boards, etc, to present the science; support for school parties to visit Departments or special displays; funding for special regional events publicising the science, e.g. during National Science Week.
- Additional funds for Science and Society activities can be sought through [STFC Science and Society awards](#). In addition to the Awards schemes, there are a number of other "public understanding" [funding opportunities](#) supported by STFC.
- Note: "staff" refers only to those staff associated with the Research Grant.

6.15 Virement of Funds

6.15

- The virement of funds between fund headings are permitted only within and between Directly Incurred costs and Exceptions excluding equipment. Equipment funding is ring-fenced and transfers into or out of equipment headings, whether under Directly Incurred or Exceptions, is not permitted.
- Transfers will be at the rate applicable for the heading, as set out in the award letter.
- Funds can only be transferred and used to meet the cost of activity or activities that meet the agreed aims and objectives of the project.
- For items of equipment costing £50k and over, the Principal Investigator may be required to seek STFC's approval in advance to vire any savings on equipment purchases to other equipment items or other expenditure headings. Approval will be subject to an explanation of the saving and purpose of additional current expenditure.
- An explanation should be provided in the final report where expenditure differs from the amount awarded under a particular expenditure heading by more than 20%.
- Funds can only be transferred and used to meet the cost of activities that meet the agreed aims and objectives of the project. While approval does not need to be sought from STFC for transfer of funds, STFC reserves the right to query any expenditure outlined in the Final Expenditure Statement that has not been incurred in line with the [Grant Terms and Conditions](#).
- **Under no circumstances may Directly Incurred and Exceptions funds be used to meet the costs of any other grant or activity.**

6.16 Transfer of a Grant Between Research Organisations in the UK

6.16

- If a Principal Investigator takes up an appointment at another Research Organisation, the balance of the funds remaining on a research grant held by the investigator can normally be transferred to that new Research Organisation, provided that:
 - the new Research Organisation is eligible to hold research grants and offers a suitable environment to enable the project to be successfully completed and for the continued career development of the contract research staff involved (The [Concordat](#) to Support the Career Development of Researchers, section C);
 - in the case of a research grant held by more than one investigator, the original aims of the project can still be achieved on a split site arrangement;
 - notice is given well in advance, and the heads of departments and the administrative authorities of both Research Organisations concerned agree in writing to the proposed arrangement. The transfer request should be submitted via the Je-S maintenance facility in the first instance;
 - STFC agrees to the transfer. If suitable arrangements cannot be agreed, STFC will consider withdrawing its offer of support or terminating the grant.
- The research grant will not be re-costed on transfer. The unspent balance of Directly Incurred and Exceptions, together with a pro rata share of Directly Allocated and Indirect Costs, will be transferred to the new host Research Organisation. The receiving organisation will be required to confirm, by return of a starting certificate, that it will provide any balance of resources needed to complete the project.
- The research grant will not be re-costed if it was announced prior to the introduction of full economic costing. The balance of funds will be announced as a new pre-fEC grant to the new host Research Organisation.
- If a Co-Investigator takes up an appointment at another Research Organisation, part of the balance of the funds remaining may be transferred, as a grant to the new Research Organisation, on the same conditions as above and, additionally, with the agreement of the Principal Investigator.

6.17 End of a Research Grant

6.17

- When a research grant ends, the Research Organisation is required to complete a Final Expenditure Statement within three months of the end date of the research grant.
- Research Organisations registered for Je-S will receive the Final Expenditure Statement through the Je-S system one month prior to the end date of the research grant for completion by the due date stated.
- The expenditure statements (final and interim) will declare the Directly Incurred and Exceptions costs of the project and the Research Council share, calculated using the percentage contribution rate in place at the time of the grant announcement.
- The Final Expenditure Statement must provide full details of how the funds awarded on the research grant have been spent and under which headings. In the reconciliation process, the Research Council will pay the remaining Directly Incurred and Exceptions costs due.
- For the Directly Allocated and Indirect Costs headings, the Research Council will pay the amount shown as spent, within the cash limit, provided that the grant ran its full course. Where a grant is terminated more than 6 months before the planned end date, a pro rata share will be paid. Where a grant terminates within 6 months of the planned end date, estates and Indirect Costs will be paid in full, but Investigators' costs and Other Directly Allocated Costs will be paid pro rata.
- Where the grant proposal was submitted before the Research Organisation has agreed the details of the new pay structures under the terms of the Framework Agreement, the Research Councils expect that the proposal will have been costed on the basis of the organisation's pay structure at the time of application. As part of the reconciliation process, additional funds for extra costs will be provided (less any savings made) arising specifically from assimilation to new pay arrangements which were not known at the time of application. Any additional funding will be based on the number and level of the staff posts agreed for the grant awarded.
- Grants terminated within six months of the original end date will not suffer a reduction in payment of Estates and Indirect Costs, but Investigators' costs and Other Directly Allocated costs will be

reduced pro rata. For grants terminated at an earlier stage, all Directly Allocated and Indirect costs will be reduced proportionately.

- Once a Final Expenditure Statement has been submitted and the final payment made to the Research Organisation, no further payments will be made on that research grant.
- **Failure to submit the Final Expenditure Statement within the period allowed may result in financial sanctions** to the final total expenditure of the research grant award as declared on the Final Expenditure Statement. If the Final Expenditure Statement is not submitted within the period allowed, the final total of the research grant may be abated by 20%. All payments may be recovered if the final report or final expenditure statement is not received within 6 months of the end of the grant.
- Research Organisations registered for Je-S can check due dates for interim and final expenditure statements through the status reporting facility.

6.18 Final Report

6.18

- The Principal Investigator is responsible for submitting a Final Report on the outcome of the research grant for those research grants where this is a requirement.
- The Research Organisation is expected to ensure that the Principal Investigator completes and submits the Final Report within three months of the end date of the research grant.
- One month prior to the end of the research grant the Principal Investigator will automatically receive a copy of the final report form for completion, together with notification of when the Final Report is due for receipt by STFC.
- **Failure to submit a Final Report within the period allowed may result in financial sanctions to the final total value of the award.** If the Final Report is not submitted within the period allowed, the final total value of the award may be abated by 20%. In addition, no further proposals from the individual concerned will be considered where a report is overdue.
- If there are exceptional circumstances that prevent submission of either the Final Expenditure Statement or the Final Report by the due date, the Research Organisation may request an extension, of up to a maximum of three months.
- Requests for extensions must be made, in writing, to the relevant STFC secretariat and **before the due date has expired**. Requests for extensions to the submission period will not be granted where the due date for receipt of either the Final Expenditure Statement or the Final Report has expired.

6.19 Sanctions

6.19

STFC reserves the right to impose financial sanctions where it identifies areas of non compliance in relation to the terms and conditions of grants. Further details on the assurance requirements of the Research Councils can be found at www.rcuk.ac.uk/assurance.

- If the Final Expenditure Statement is not submitted within the period allowed, the final total of the research grant may be abated by 20%.
- If the Final Report is not submitted within the period allowed, the final total value of the award may be abated by 20%. In addition, no further proposals from the individual concerned will be considered where a report is overdue.
- STFC may recover 100% of the total final value of the research grant if the Final Report and/or the Final Expenditure Statement have not been submitted within six months of the end date of the research grant.
- In relation to the current Quality Assurance and validation project for TRAC implementation in universities, the STFC reserves the right to apply sanctions of 75% of the non-compliant rate where an institution is found to be using rates which are materially inaccurate (>10% variance on any single rate). These sanctions would only apply to future applications although STFC may exercise a higher sanction where there has been evidence of significant overpayments to a research organisation based on inaccurate rates.



Research Grants Handbook

7 Evaluation and Final Reports

7

- Principal Investigators will be formally advised if the requirement for a Final Report has been waived.
- Completion of the Final Report is the responsibility of the Principal Investigator.
- On some larger or longer term grants e.g. rolling grants or special research initiatives, interim progress reports will also be required. In addition, for some special initiatives, STFC may request specific information on the outcome of the research. Where this is so, the Principal Investigator will be informed of such requirements.

7.1 Change to Reporting Requirements

7.1

7.1 Final Reports - Change to Reporting Requirements

- The Research Councils, as part of wider initiatives to reduce the amount of effort expended by the research sector on the preparation and assessment of research proposals and final reports, have decided to scale back their final reporting requirements.
- In line with this, STFC has decided to remove, from 15th April 2008 the requirement for a narrative scientific report attachment to accompany the final report form required for most standard Research Grants. It will be necessary to complete the final report form within three months of the end of the grant, but, with no narrative report, final reports will cease to be peer reviewed. However, we recognise that some final report narrative attachments may currently be in preparation so will continue to accept them; and any that are, optionally, completed and submitted before 1 May will be sent for peer review and graded in the normal way. After 1 May 2008 we will not send final reports for peer review.
- The Collaborative Research Grant Final Report attachment, needed for final reports on grants awarded under IPS schemes, will continue to be required. There is no impact on grants, such as rolling grants, for which final reports are not currently required.
- In the longer term, the Councils are working together on developing a process for collecting information on the outputs, such as publications, generated by grant-supported research



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8 Exploitation of Results and Dissemination of Information

8

- Whilst much of the STFC research programme is directed at answering questions of a fundamental nature, some aspects of the science programme and much of the supporting technology will give rise to inventions such as new devices, materials, processes, ideas, know-how and other potentially exploitable results. Such results may be classified as intellectual property.
- It is STFC policy that any such potentially valuable intellectual property obtained in the course of research grant supported research, whether patentable or not, should be actively exploited for the benefit of society and the UK's economic competitiveness. Where conditions permit, arrangements should be made to secure a suitable return to the Research Organisation.
- STFC will not normally make a claim to the intellectual property arising from the research it supports and, unless specifically stated when the formal announcement of a research grant is made to the Research Organisation, the intellectual property arising from STFC's research grants is vested initially in the Research Organisation. The Research Organisation may choose to retain these intellectual property rights or assign them to a third party under an exploitation agreement. The Research Organisation is entitled to retain any income arising from these exploitation arrangements.

8.1 Exploitation Arrangements

8.1

- It is the responsibility of the Research Organisation and all engaged in the research for which funds and resources have been provided by STFC to make every effort to ensure that any potentially valuable results obtained in the course of the research are exploited and that there is a suitable return to the Research Organisation and its researchers from any such exploitation.
- The Research Organisation is expected to ensure that all those associated with the research are aware of, and accept, its procedures for the notification of any result which may have commercial significance and make appropriate protection arrangements in good time before publication or other disclosure.
- The Research Organisation, in consultation with those engaged in the research, is expected to make suitable arrangements for exploitation, take up by industry or new commercial ventures.
- Research Organisations must ensure that all those associated with the research, whether staff, students, fellows or visitors, are aware of, and accept, these exploitation requirements.
- The Research Organisation is required to ensure that they have in place suitable arrangements, and support for the:
 - Identification and assessment of potentially exploitable intellectual property;
 - protection of intellectual property;
 - reward of individual investigators;
 - exploitation, take up by industry or new commercial ventures.
- The [Follow on Fund](#) aims to support the commercialisation of research ideas and provides funds to enable these ideas to be brought to a stage where commercial opportunities can be secured.

8.2 Dissemination

8.2

- Principal Investigators are expected to disseminate the results of their work to relevant beneficiaries and the general public.
- The investigator(s) should, subject to the procedures laid down by the Research Organisation and any collaborating partners, publish the results of the research grant in accordance with normal practice.
- STFC supports the sentiments of the RCUK position statement on access to research outputs. Further clarification about the arrangements under which Research Organisations can make provision for the payment of publication fees under full economic costing can be found in the document [Paying for Open Access Publication Charges](#).
- For all STFC grants arising from proposals submitted after 1 December 2006, the full text of any articles resulting from the grant that are published in journals or conference proceedings, whether during or after the period of the grant, must be deposited, at the earliest opportunity, in an appropriate e-print repository, wherever such a repository is available, subject to compliance with publisher's copyright and licensing policies. Wherever possible, the article deposited should be the published version.
- In addition, the bibliographical metadata (including a link to the publisher's web site) must wherever possible be deposited, at or around the time of publication, in the relevant e-print repository.

8.3 Collaboration

8.3

- STFC expects collaborative research, either in the form of the joint pursuit of research with industry e.g. through IPS, or between similar organisations to be put on a formal footing, for example, through a collaboration and/or exploitation agreement.
- Such agreements should state clearly the contributions and rights of all parties, particularly in respect of exploitation arrangements. Any such agreement should not conflict with STFC's research grant conditions.
- STFC will not contribute to negotiating exploitation agreements for collaborative research but will require an assurance that an agreement, acceptable to all parties, exists before the research begins.
- Arrangements for collaboration and/or exploitation must not prevent the future progression of research and the dissemination of research results in accordance with academic custom and practice. A temporary delay in publication is acceptable in order to allow commercial and collaborative arrangements to be established.

8.4 Protection of Patentable Material

8.4

- Research Organisations are reminded that potential patent rights are prejudiced by publication or non-confidential disclosure of the subject matter prior to filing a patent application.
- Publication is now interpreted very broadly and covers everything made available publicly in writing, orally, by use or in any other way before protection is sought.
- Exceptions for learned society publications no longer exist and provision for privileged display at exhibitions is more restricted than previously.

8.5 Protection of Non-Patentable Material

8.5

- Research Organisations are reminded that whether or not the research leads to patentable inventions it may lead to the creation of know-how, computer software or other results which, although they cannot always be formally protected, can be of commercial value.

8.6 Acknowledgement

8.6

- Research Organisations must ensure that they fully acknowledge the support of STFC in the development of:
 - patents;
 - exploitable intellectual property;
 - publications.

- Journal publications should acknowledge the funding source using the standard format agreed by funders and publishers and detailed in the [additional information](#) accompanying the grant.



Research Grants Handbook

Section 9: Terms and Conditions of Research Council Grants

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Additional Information to Accompany Terms & Conditions

9 Terms and Conditions of Research Council Grants

9.1 Introduction

9.1

TERMS AND CONDITIONS OF RESEARCH COUNCIL FEC GRANTS

These terms and conditions relate to grants, comprising Research Grants and Fellowships, costed and funded on the basis of full economic costs (fEC), calculated in accordance with the TRAC methodology (universities and other higher education bodies) or by an equivalent methodology by other Research Organisations.

Grants awarded by the Research Councils are made to Research Organisations on the basis of this single set of core terms and conditions. The Research Councils are:

Arts and Humanities Research Council (AHRC)

Biotechnology and Biological Sciences Research Council (BBSRC)

Economic and Social Research Council (ESRC)

Engineering and Physical Sciences Research Council (EPSRC)

Medical Research Council (MRC)

Natural Environment Research Council (NERC)

Science and Technology Facilities Council (STFC)

Individual Councils may add additional conditions to the grant to reflect the particular circumstances and requirements of their organisation, or the nature of a particular grant. Acceptance of a grant constitutes acceptance of both the core conditions and any additional conditions.

The Research Councils reserve the right to vary these terms and conditions.

Definitions

Research Council: any of the bodies listed above.

Grant: support for a proportion of the full economic costs of a project. A Grant may be either a Research Grant or a Fellowship.

Ø Research Grant: a contribution to the costs of a stated research project which has been assessed as suitable for funding through the procedures established by the relevant Research Council.

Ø Fellowship Grant: an award made through a fellowship competition providing a contribution to the support of a named individual. It covers the cost of the time dedicated by the fellow to their personal research programme, and may or may not include research support costs.

Grant Holder: the person to whom the grant is assigned and who has responsibility for the intellectual leadership of the project and for the overall management of the research. The Grant Holder is either the Principal Investigator (in the case of a Research Grant) or a Research Fellow (in the case of a Fellowship Grant)

Co-Investigator: a person who assists the Grant Holder in the management and leadership of a project.

Research Organisation: the organisation to which the grant is awarded and which takes responsibility for the management of the research project and the accountability of funds provided.

Full Economic Costs (fEC): a cost which, if recovered across an organisation's full programme, would recover the total cost (direct, indirect and total overhead) including an adequate recurring investment in the organisation's infrastructure.

Directly Incurred Costs: costs that are explicitly identifiable as arising from the conduct of a project, are charged as the cash value actually spent and are supported by an audit record.

Directly Allocated Costs: the costs of resources used by a project that are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis.

Indirect Costs: non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated Costs. They include the costs of the Research Organisation's administration such as personnel, finance, library and some departmental services.

Exceptions: Directly Incurred Costs that Research Councils fund at 100% of fEC, subject to actual expenditure incurred, or items that are outside fEC.

Transparent Approach to Costing (TRAC): an agreed methodology used by universities and other higher education bodies for calculating full economic costs.

Funding Assurance Programme: a programme of visits and office-based tests to seek assurance that grant funds are used for the purpose for which they are given and that grants are managed in accordance with the terms and conditions under which they are awarded.

Data Protection Regulations

The Research Councils will use information provided on the grant proposal for processing the proposal, the award of any consequential grant, and for the payment, maintenance and review of the grant. This may include:

- Ø Registration of proposals;
- Ø Operation of grants processing and management information systems;
- Ø Preparation of material for use by referees and peer review panels;
- Ø Administration, investigation and review of grant proposals;
- Ø Sharing proposal information on a strictly confidential basis with other funding organisations to seek contributions to the funding of proposals;
- Ø Statistical analysis in relation to the evaluation of research and the study of trends;
- Ø Policy and strategy studies.

To meet the Research Councils' obligations for public accountability and the dissemination of information, details of grants may also be made available on the Research Councils' web sites and other publicly available databases, and in reports, documents and mailing lists.

After completion of the grant, the Research Council may contact the Grant Holder concerning funding opportunities or events, or for the purposes of evaluation. In some instances, the Research Council may wish to authorise an affiliate organisation to contact the Grant Holder on its behalf. It is assumed that, by agreeing to these terms and conditions, the Research Organisation consents to this on behalf of the Grant Holder, but if the Grant Holder prefers not to be contacted in this way, he or she should state this to the Research Council. Grant Holders may choose to opt out at any point, provided they comply with all other terms and conditions associated with the grant.

Freedom of Information Act and Environmental Information Regulations

Attention is drawn to the provisions of the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations (EIRs). Research Councils have issued Publication Schemes which set out the types of information publicly available on their websites or published as documents. In addition, Research Councils have an obligation to respond to specific requests and may be required to disclose information about or provided by Research Organisations. In some cases the Research Council may consult the Research Organisation before disclosure, but it is under no obligation to do so. If a Research Organisation considers that any information it provides to a Research Council would be subject to an exemption under FOIA or the EIRs it should clearly mark the information as such and provide an explanation of why it considers the exemption applies and for how long. The Research Council will consider this explanation before disclosure, but it is not obliged to accept it as binding.

Where a Research Council determines that a Research Organisation is holding information on its behalf that it requires in order to comply with its obligations under FOIA or EIRs, the Research Organisation undertakes to provide access to such information as soon as reasonably practicable on request of the Research Council and in any event within 5 working days.

In some cases Research Organisations may be directly responsible for complying with FOIA and the EIRs; in such cases the Research Councils accept no responsibility for any failure to comply by the Research Organisations.

9.2 GC 1 Responsibilities of the Research Organisation

9.2

- Ø The Research Organisation must ensure that any part of the Full Economic Cost of the project not funded by the Research Council grant is committed to the project before it starts.
- Ø The Research Organisation must ensure that the Grant Holder and Co-Investigators are made aware of their responsibilities and that they observe the terms and conditions of grants.
- Ø The Research Organisation must ensure that the research supported by the grant complies with all relevant legislation and Government regulation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence.
- Ø The Research Organisation is expected to adopt the principles, standards and good practice for the management of research staff set out in the 2008 Concordat to Support the Career Development of Researchers, and subsequent amendments www.researchconcordat.ac.uk. The Research Organisation must create an environment in which research staff are selected and treated on the basis of their merits, abilities and potential. **It must ensure that reliable systems and processes are in place so** that the principles of the Concordat are embedded into practice within the Research Organisation. It must ensure compliance

with all relevant legislation and Government regulation, including any subsequent amendments introduced while work is in progress.

Ø The Research Organisation must appoint a Research Fellow as an employee for the full duration of the award.

Ø The Research Organisation must integrate the Research Fellow within the research activities of the host department, whilst ensuring that he or she is able to maintain independence and focus on their personal research programme.

Ø The Research Organisation must notify the Research Council of any change in its status, or that of the Grant Holder, that might affect the eligibility to hold a grant.

Ø The Research Organisation must ensure that the requirements of the Employing Organisation under the Department of Health's Research Governance Framework for Health and Social Care (or equivalent) are met for research involving NHS patients, their organs, tissues or data, and that the necessary arrangements are in place with partner organisations. Where it also accepts the responsibilities of a Sponsor (as defined in the Governance Framework), it must also ensure that the requirements for Sponsors are met.

Ø The Research Organisation must ensure proper financial management of grants and accountability for the use of public funds.

9.3 GC 2 Research Governance

9.3

It is the responsibility of the Research Organisation to ensure that the research is organised and undertaken within a framework of best practice that recognises the various factors that may influence or impact on a research project. Particular requirements are to ensure that all necessary permissions are obtained before the research begins, and that there is clarity of role and responsibility among the research team and with any collaborators. The Research Councils expect research to be conducted in accordance with the highest standards of research integrity and research methodology.

Research Ethics

The Research Organisation is responsible for ensuring that ethical issues relating to the research project are identified and brought to the attention of the relevant approval or regulatory body. Approval to undertake the research must be granted before any work requiring approval begins. Ethical issues should be interpreted broadly and may encompass, among other things, relevant codes of practice, the involvement of human participants, tissue or data in research, the use of animals, research that may result in damage to the environment and the use of sensitive economic, social or personal data.

Use of Animals in Research

Wherever possible, researchers must adopt procedures and techniques that avoid the use of animals. Where this is not possible, the research should be designed so that:

- The least sentient species with the appropriate physiology is used;
- The number of animals used is the minimum sufficient to provide adequate statistical power to answer the question posed;
- The severity of procedures performed on animals is kept to a minimum. Experiments should be kept as short as possible. Appropriate anaesthesia, analgesia and humane end points should be used to minimise any pain and suffering.

The provisions of the Animals (Scientific Procedures) Act 1986, and any amendments, must be observed and all necessary licences must have been received before any work requiring approval takes place.

Medical and Health Research

The Research Organisation is responsible for managing and monitoring the conduct of medical and health research in a manner consistent with the Department of Health's Research Governance Framework for Health and Social Care (or equivalent). There must be effective and verifiable systems in place for managing research quality, progress and the safety and well-being of patients and other research participants. These systems must promote and maintain the relevant codes of practice and all relevant statutory review, authorisation and reporting requirements.

Research involving human participants or data within the social sciences that falls outside the Department of Health's Research Governance Framework must meet the provisions and guidelines of the ESRC's Research Ethics Framework. While this research may involve patients, NHS staff or organisations, it is defined as research that poses no clinical risk or harm to those who are the subjects of research. Research Organisations must ensure that appropriate arrangements are in place for independent ethics review of social science research that meets local research ethics committee standards.

Significant developments must be assessed as the research proceeds, especially those that affect safety and well-being, which should be reported to the appropriate authorities and to the Research Council. The Research Organisation must take appropriate and timely action when significant problems are identified. This may include temporarily suspending or terminating the research.

The Research Organisation is responsible for managing and monitoring statutory requirements for which it accepts responsibility, for example, in relation to legislation on clinical trials, use of human organs, tissues and data.

Guidance by the MRC on the conduct of medical research, and by ESRC on the conduct of social science research, provided on behalf of all Research Councils, must be observed.

Health and Safety

The Research Organisation is responsible for ensuring that a safe working environment is provided for all individuals associated with a research project. Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice recommended by the Health & Safety Executive. Appropriate care must be taken where researchers are working off-site. The Research Organisation must satisfy itself that all reasonable health and safety factors are addressed. The Research Councils reserve the right to require the Research Organisation to undertake a safety risk assessment in individual cases where health and safety is an issue, and to monitor and audit the actual arrangements made.

Misconduct and Conflicts of Interest

The Research Organisation is required to have in place procedures for governing good research practice, and for investigating and reporting unacceptable research conduct that meet the requirements set out in the Research Councils' Code of Conduct and Policy on the Governance of Good Research Conduct (2009) and any subsequent amendments.

The Research Organisation must ensure that potential conflicts of interest in research are declared and subsequently managed.

9.4 GC 3 Use of Funds

9.4

- Subject to the following conditions, grant funds may be used, without reference to the Research Council, in such a manner as to best carry out the research.
- Grant funds include a provision for inflation based on the GDP Deflators published by HM Government. The value of the grant may be varied by the Research Council during the lifetime of the grant in accordance with the deflators or to take into account any other Government decisions affecting the funding available to the Research Councils. Grant funds are provided for a specific research project. Under no circumstances may Directly Incurred and Exceptions funds be used to meet costs on any other grant or activity.
- Directly Incurred and Exceptions funds cannot be used to meet the costs of an activity that will fall beyond the actual end date of the grant, e.g. when travel falls after the end of the grant, the costs cannot be charged to the grant even if the tickets, etc. can be purchased in advance.
- Any proposal to purchase an item of equipment in the last 6 months of the grant is subject to prior written approval by the Research Council. The Research Council will wish to be assured that the item of equipment is essential to the research.

9.5 GC 4 Starting Procedures

- 9.5
- The process for activating a grant consists of two separate stages. The Research Organisation must formally accept the grant by completing and returning the Offer Acceptance within 10 working days of the offer letter being issued. Returning the Offer Acceptance will result in the start

Confirmation and the Payment schedule being issued. The Start /confirmation must be submitted within 42 (calendar) days of the research/training starting and the start date shown on the start confirmation will be regarded as the start date of the grant. The start of research may be delayed by up to 6 months (ESRC 3 months) from the start date shown in the offer letter, the duration of the grant remaining unchanged. The grant may lapse if it is not started within this period.

- Where there are staff funded by the grant who were intended to be appointed from the start date, payments will take effect from the date when the first such staff start work. Otherwise, payments will take effect from the start date given on the start confirmation.
- Expenditure may be incurred prior to the start of research and subsequently charged to the grant, provided that it does not precede the date of the offer letter.

• **9.6 GC 5 Changes in Research Project**

• 9.6

- The Research Council must be consulted in the event of any major change in the proposed research, including failure to gain access to research facilities and services, or to gain ethical committee approval for the research, particularly those which make it unlikely that the objectives of the research can be achieved. If appropriate, revised proposals may be required. The Research Council reserves the right to make a new grant in place of the existing grant, or to revise, retain or terminate the existing grant.

- It is the responsibility of the Research Organisation to manage the resources on the grant, including the staff, and the Research Council need not be consulted if staffing levels on the grant are changed. However, a proportionate reduction should be made in the value of Estates, Indirect Costs and Infrastructure Technicians claimed by the Research Organisation in the following circumstances:

- 1. a post that attracts these costs is not filled;
- 2. a staff member who attracts these costs leaves more than six months before the end of the period for which the post was funded and is either not replaced, or is replaced by a category of staff that does not attract the costs e.g. project student or technician.

• **9.7 GC 6 Transfers between Headings**

• 9.7

- Transfers of funds between fund headings are permitted only within and between Directly Incurred costs and Exceptions excluding equipment. Equipment funding is ring-fenced and transfers into or out of the equipment headings, whether under Directly Incurred or Exceptions, is not permitted. Transfers will be at the rate applicable for the heading, as set out in the offer letter. Funds can only be transferred and used to meet the cost of activity or activities that meet the agreed aims and objectives of the project. While approval does not need to be sought from the Research Council for transfer of funds, the Research Councils reserve the right to query any expenditure outlined in the Final Expenditure Statement, which has not been incurred in line with the Grant Terms and Conditions.

• **9.8 GC 7 Extensions**

• 9.8

- **Research Grants:** After a research grant has started, the duration may be extended by a total of up to 6 months, subject to prior written approval. Extensions may cover breaks or delays in the appointment of staff, periods of maternity leave, paternity leave, adoption leave, parental leave, extended jury service or paid sick leave exceeding 3 months (or possibly shorter periods of sick leave if the member of staff is disabled for the purposes of the Disability Discrimination Act 1995 (as amended)), or other exceptional circumstances with the agreement of the Research Council.

- **Fellowship Grants:** After a fellowship grant has started, the duration may be extended to cover maternity leave, paternity leave, adoption leave, parental leave, extended jury service or paid sick leave for a Research Fellow in line with the terms and conditions of the fellow's employment. For staff other than the fellow extensions may cover breaks or delays in the appointment of staff, periods of maternity leave, paternity leave, adoption leave, parental leave, extended jury service or paid sick leave exceeding 3 months (or possibly shorter periods of sick leave if the member of staff is disabled for the purposes of the Disability Discrimination Act 1995 (as amended)), or other exceptional circumstances with the agreement of the Research Council).

- Any request for an extension should be made via the Grant Maintenance facility in JeS as soon as the requirement is identified. All requests for extensions must be made before the grant ends.

• **9.9 GC 8 Staff**

• 9.9

- The Research Organisation must assume full responsibility for staff funded from the grant and, in consequence, accept all duties owed to and responsibilities for these staff, including, without

limitation, their terms and conditions of employment and their training and supervision, arising from the employer/employee relationship.

- The Research Organisation must provide research staff with a statement, at the outset of their employment, setting out the provisions for career management and development, including personal skills training, and ensure that they have access to appropriate training opportunities.
- Provided it is related to the research project on which they are currently working, Research staff and Research Fellows may, during normal working hours, undertake teaching and demonstrating work, including associated training, preparatory, marking and examination duties, for up to an average of 6 hours a week (pro rata for part-time staff) **calculated over the period** that they are supported on the grant.

• **9.10 GC 9 Maternity, Paternity, Adoption Parental Leave**

• 9.10

- The Research Organisation will be compensated at the end of the grant to cover any additional net costs, that cannot be met within the cash limit, of paid maternity, paternity and adoption and parental leave for staff within the Directly Incurred and Exceptions fund headings (excluding the Principal and Co-Investigators, unless they are also Research Fellows or Research Assistants funded by the grant), if they fulfill the qualifying conditions of the Research Organisation. The net cost is the amount paid to the individual less the amount the Research Organisation can recover for the Statutory Maternity Pay and Statutory Adoption Pay from HMRC.

- Maternity, paternity and adoption pay is not payable by the Research Council only for directly incurred staff that are funded for 100% of their contracted time on the grant (apart from staff acting as Principal and Co-Investigators unless they are also Research Fellows or Research Assistants funded by the grant).

- Grant funds, within the announced cash limit, may be used to meet the costs of making a substitute appointment and/or extending the grant to cover a period of maternity, paternity, adoption or parental leave for staff within the directly incurred and exceptions fund headings (excluding the principal and co-investigators, unless they are also research fellows or research assistants funded by the grant). The duration of a grant will be extended only if the period can be accommodated within the maximum period allowed for extensions. Directly Allocated and Indirect funds will not be increased as a result of such extensions.

- **Research Grants:** Research Grant funds may be used to meet the costs of paid maternity, paternity, parental and adoption leave only to the extent that it is taken during the original period of the grant. The Research Organisation will be responsible for any liability for maternity, paternity, parental and adoption leave pay for staff supported by the grant outside the original period of the grant. If, for example, a grant ends while a member of research staff is part-way through her maternity leave, the Research Organisation will be responsible for that part of the maternity leave which is taken after the research grant has ended.

- **Fellowship Grants:** Fellows are entitled to take maternity, paternity, adoption or parental leave in accordance with the terms and conditions of the fellow's employment. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of the Research Fellow for maternity, paternity, adoption or parental leave, and the period of the fellowship extended by the period of leave. Consideration will be given to requests to continue the fellowship on a flexible or part-time basis to allow the Research Fellow to meet caring responsibilities.

• **9.11 GC 10 Sick Leave**

• 9.11

- The research Organisation will be compensated at the end of the grant to cover any additional net costs, that cannot be met within the cash limit, of paid sick leave for staff within the Directly Incurred and exceptions fund headings (excluding the Principal and Co-Investigators, unless they are also Research Fellows or Research Assistants funded by the grant) who fulfil the qualifying conditions of the Research Organisation. The net cost is the amount paid to the individual less the amount the Research Organisation can recover from HMRC.

- Sick pay is payable by the Research Council only for directly incurred staff that are funded 100% of their contracted time on the grant (apart from staff acting as Principal and Co-Investigators unless they are also Research Fellows or Research Assistants funded by the grant).

- Grant funds, within the announced cash limit, may be used to meet the approved cost of making a substitute appointment and/or extending the grant to cover a period of sick leave for staff within the directly incurred and exceptions fund headings (excluding the principal and co-investigators, unless they are also research fellows or research assistants funded by the grant). The duration of a grant will be extended only if the period can be accommodated within the maximum period allowed for extensions. Directly Allocated and Indirect funds will not be increased as a result of such extensions.

- **Research Grants:** Where there is a continuous period of sick leave in excess of 3 months, the Research Organisation may apply to the Research Council to discuss the possibility of a substitute appointment to safeguard progress on the project. Where a Research Assistant has been on sick leave in excess of 3 months the Research Organisation must comply with all their obligations to consider reasonable adjustments before making a substitute appointment. Where a Research Assistant has been on sick leave for an aggregate (not necessarily continuous) period in excess of 3 months, where this is due to a single condition or a series of related conditions, the Research Organisation may request an extension to the duration of the project
- **Fellowship Grants:** Fellows are entitled to take sick leave in accordance with the research organisation's terms and conditions. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of the Research Fellow due to sick leave, and the period of the fellowship extended by the period of sick leave. The additional salary costs for the fellow (pro rata to their percentage FTE on the fellowship) should be claimed, as necessary, at the end of the extended period.

- **9.12 GC 11 Procurement of Equipment**

- 9.12

- The procurement of equipment, consumables and services, including maintenance, must comply with all relevant national and EU legislation and the Research Organisation's own financial policy and procedures. Accepted procurement best practice in the higher education sector must be observed. For all equipment and services where the contract value is more than £25,000, excluding VAT, professionally qualified procurement staff must be consulted before the procurement process begins, and, where appropriate, at the market research stage, and must approve the order/contract before it is placed with a supplier.

- **9.13 GC 12 Ownership and Use of Equipment**

- 9.13

- Equipment purchased from grant funds is primarily for use on the research project for which the research grant was awarded, and belongs to the Research Organisation. In certain circumstances the Research Council may wish to retain ownership throughout the period of the grant and possibly beyond. In such cases, the grant will be subject to an additional condition.
- The Research Council must be informed if, during the life of the research grant, the need for the equipment diminishes substantially or it is not used for the purpose for which it was funded. The Research Council reserves the right to determine the disposal of such equipment and to claim the proceeds of any sale.
- Any proposal to transfer ownership of the equipment during the period of the grant is subject to prior approval by the Research Council. After the research **project** has ended, the Research Organisation is free to use the equipment without reference to the Research Council, but it is nevertheless expected to maintain it for research purposes as long as is practicable.
- Where there is spare capacity in the use of the equipment, the Research Council expects this to be made available to other users. Priority should be given to research supported by any of the Research Councils and to Research Council-funded students.

- **9.14 GC 13 Transfer of a Grant to another Research Organisation**

- 9.14

- The Research Organisation must notify the Shared Services Centre via the Grant Maintenance facility in JeS if the Grant Holder intends to transfer to another organisation. If this organisation is eligible to hold grants, and is able to provide a suitable environment to enable the project to be successfully completed, the expectation is that the grant would be transferred with the Grant Holder. Written agreement to this is required from both the relinquishing and receiving organisations; this will normally be triggered automatically by the initial request to JeS.
- The Research Council will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, the Research Council will consider withdrawing its support or terminating the grant.
- Where there is a basis for continuing involvement by the relinquishing organisation, agreement should be reached between both organisations on the apportionment of work and the distribution of related funding.
- Grants will not be re-costed following transfer. The unspent balance of Directly Incurred and Exceptions, together with a pro rata share of Directly Allocated and Indirect costs, will be transferred to the new Research Organisation. The receiving organisation will be required to confirm, by return of an offer acceptance, that it will provide any balance of resources needed to complete the project.

- **9.15 GC 14 Change of Grant Holder**

- 9.15

- **Research Grants:** The Research Organisation must consult the Research Council if it is proposed to change the Grant Holder, for example, following retirement or resignation. Where the Grant Holder is transferring to another organisation eligible to hold a grant, the provisions of GC 13 will apply. In other circumstances, the Research Organisation may nominate a replacement Grant Holder. The Research Council will wish to be assured that the replacement meets the eligibility criteria and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

- **Fellowship Grants:** A fellowship grant is awarded on the basis of a named individual's suitability to undertake and benefit from the period of research: therefore changes to the Grant Holder are not permitted. The resignation of the Research Fellow, or the termination of their employment, constitutes the end of the grant for the purpose of submitting a final report and the Council's financial liabilities.

- **9.16 GC 15 Annual Statement**

- 9.16

- The Research Organisation may be sent a statement to return each year showing payments made by the Research Council during the previous financial year for all the grants it holds. Where a statement is required, the Research Organisation must certify, by returning the statement, that:

- ∅ expenditure has been incurred in accordance with the grant conditions, and

- ∅ those grants shown as current are continuing.

- No further payments will be made until the annual statement has been received and accepted by the Research Council.

- **9.17 GC 16 Expenditure Statements**

- 9.17

- The Research Organisation must complete and return an expenditure statement within 3 months of the end date of a grant. Once an expenditure statement has been received and the expenditure incurred has been reconciled against payments made, it will be considered as final.

- Expenditure shown in the Directly Incurred and Exceptions headings must show the actual expenditure incurred by the project. Settlement by the Research Council will reflect the proportion of fEC stated in the award letter applied to actual expenditure, within the cash limit.

- For the Directly Allocated and Indirect Costs headings, the Research Council will pay the amount shown as spent, within the cash limit, provided that the grant ran its full course. Where a grant is terminated more than 6 months before the planned end date, a pro rata share will be paid. Where a grant terminates within 6 months of the planned end date, estates and Indirect Costs will be paid in full, but Investigators' costs and Other Directly Allocated Costs will be paid pro rata.

- Costs arising from maternity, paternity, adoption, parental or sick leave should be identified in the 'Directly Incurred Other' heading of the statement.

- The Research Council reserves the right to require the Research Organisation to complete and submit a statement of expenditure at any time during the course of a grant, or to provide supplementary information in support of an interim or final expenditure statement.

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- If there are exceptional reasons that will prevent submission of the expenditure statement within the period allowed, a written request may be made via the Grant Maintenance facility in JeS, before the due date passes, for the submission period to be extended.

- **9.18 GC 17 Inspection**

- 9.18

- The Research Council reserves the right to have reasonable access to inspect the records and financial procedures associated with grants or to appoint any other body or individual for the purpose of such inspection.

- The Research Organisation must, if required by the Research Council, provide a statement of account for the grant, independently examined by an auditor who is a member of a recognised professional body, certifying that the expenditure has been incurred in accordance with the research grant terms and conditions.

- Research Councils will undertake periodic reviews of Research Organisations within the **Funding Assurance Programme** to seek assurance that grants are managed in accordance with the terms and conditions under which they are awarded.

- **9.19 GC 18 Final Report**

- 9.19

- A report on the conduct and outcome of the project must be submitted by the Research Organisation within three months of the end of the grant, on the form provided. No further application from a Grant Holder will be considered while a final report is overdue.
- If there are exceptional reasons that will prevent submission of the final report within the period allowed, a written request may be made via the Grant Maintenance facility in JeS, before the due date passes, for the submission period to be extended.
- **9.20 GC 19 Sanctions**
- 9.20
- The Research Councils reserve the right to impose financial sanctions where they identify areas of non compliance in relation to the terms and conditions of grants. Further details on the assurance requirements of the Research Councils can be found at www.rcuk.ac.uk/assurance.
- If the final report or the final expenditure statement is not received within the period allowed, the Research Council may recover 20% of expenditure incurred on the grant. All payments may be recovered if the report or statement is not received within 6 months of the end of the grant.
- In relation to the current Quality Assurance and validation project for TRAC implementation in universities, the Research Councils reserve the right to apply sanctions of 75% of the non-compliant rate where an institution is found to be using rates which are materially inaccurate (>10% variance on any single rate). These sanctions would only apply to future applications although Councils may exercise a higher sanction where there has been evidence of significant overpayments to research organisation based on inaccurate rates.
- **9.21 GC 20 Public Engagement**
- 9.21
- It is the responsibility of the Research Organisation and the Grant Holder and Co-Investigators to communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest. Special schemes exist in some Research Councils providing additional support for these activities.
- **9.22 GC 21 Exploitation and Impact**
- 9.22
- It is the responsibility of the Research Organisation, and all engaged in the research, to make every effort to ensure that the outcomes obtained in the course of the research, whether patentable or not, are used to the advantage of society and the economy. Research outcomes should be disseminated to both research and more widespread audiences - for example to inform potential users and beneficiaries of the research.
- Unless stated otherwise, the ownership of intellectual assets, including intellectual property, and responsibility for their application, rests with the Organisation that generates them.
- [Where the grant is associated with more than one research organisation and/or other project partners, the basis of collaboration between the organisations](#), including ownership of intellectual property and rights to exploitation, is expected to be set out in a formal collaboration agreement. It is the responsibility of the Research Organisation to put such an agreement in place before the research begins. The terms of collaboration agreements must not conflict with the Research Councils' terms and conditions.
- Arrangements for collaboration and/or exploitation must not prevent the future progression of research and the dissemination of research results in accordance with academic custom and practice. A temporary delay in publication is acceptable in order to allow commercial and collaborative arrangements to be established.
- The Research Council may, in individual cases, reserve the right to retain ownership of intellectual assets, including intellectual property (or assign it to a third party under an exploitation agreement) and to arrange for it to be exploited for the national benefit and that of the Research Organisation involved. This right, if exercised, will be set out in an additional condition.
- There should be suitable recognition and reward to researchers who undertake activities that deliver benefit through the application of research outcomes. The Research Organisation must ensure that all those associated with the research are aware of, and accept, these arrangements.
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- **9.23 GC 22 Research Monitoring and Evaluation**
- 9.23
- While it is the responsibility of the Research Organisation to manage the research, the Research Council reserves the right to call for periodic information on progress or to visit the project team. The Grant Holder may also be asked to attend meetings to exchange information and ideas with others undertaking research in the same or similar fields.

- The Grant Holder must make all reasonable efforts, if so invited, to respond to requests for information or to attend events or activities organised by the Research Council concerning the research undertaken. Such events may be held after a grant has finished.
- **9.24 GC 23 Publication and Acknowledgement of Support**
- 9.24
- The Grant Holder should, subject to the procedures laid down by the Research Organisation, publish the results of the research in accordance with normal academic practice. Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the Research Council, quoting the grant reference number if appropriate.
- Journal publications should acknowledge the funding source using the standard format agreed by funders and publishers and detailed in the additional information accompanying this grant.
- **9.25 GC 24 Disclaimer**
- 9.25
- The Research Councils accept no liability, financial or otherwise, for expenditure or liability arising from the research funded by the grant, except as set out in these terms and conditions, or otherwise agreed in writing.
- Where studies are carried out in an NHS Trust, the Trust has a duty of care to its patients. The Research Council does not accept liability for any failure in the Trust's duty of care, or any negligence on the part of its employees.
- The Research Councils reserve the right to terminate the grant at any time, subject to reasonable notice and to any payment that may be necessary to cover outstanding and unavoidable commitments.
- Further to GC3, the Research Councils reserve the right to amend the payment profile at their discretion. The Research Organisation will be advised, in advance, of any such a change. Changes to payment profiles may affect the overall value of the grant.
- If a grant is terminated or reduced in value, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted, but, subject to the provisions of GC16, negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grant.
- **9.26 GC 25 Status**
- 9.26
- These terms and conditions will be governed by the laws of England and Wales; all matters relating to the terms and conditions will be subject to the exclusive jurisdiction of the courts of England and Wales.
- If any provision of these terms and conditions is found by a court or other legitimate body to be illegal, invalid or unreasonable, it will not affect the remaining terms and conditions which will continue in force.
- These terms and conditions, together with any additional conditions set out in the grant, contain the whole agreement between the Research Council and the Research Organisation in relation to the stated research grant. The Research Council and the Research Organisation do not intend that any of these terms and conditions should be enforceable by any third party.
- **9.27 Additional Information to Accompany Terms & Conditions**
- 9.27
- Following discussions between the Research Information Network, Research Councils, other funders and journal publishers, a standard format has been agreed for acknowledging funders in journal articles. This is to enable improved tracking of the publications generated by funded research projects.
- For articles published in journals, or deposited in institutional or subject-based repositories, the acknowledgement of funding should take the form of a sentence as in the following example, with the funding agency written out in full, followed by the grant number in square brackets:
- This work was supported by the Medical Research Council [grant number xxxx].
- Multiple grant numbers should be separated by comma and space. Where the research was supported by more than one agency, the different agencies should be separated by a semi-colon, with "and" before the final funder. For example:
- This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number zzzz]; and the Economic and Social Research Council [grant number aaaa].

