

NERC FELLOWSHIPS HANDBOOK

2011

Edition 2011- 1.1

Aug 2011



Natural Environment Research Council – Fellowships 2011

Edition 2011-1.1 Aug 2011

This handbook sets out the terms and conditions of the Fellowship Schemes that are administered by the Natural Environment Research Council (NERC). **NERC reserves the right to change any of these regulations from time to time, without prior notification.** The regulations governing all NERC Fellowships at any time are those in the most recent version of this handbook, available on the NERC Website at: <http://www.nerc.ac.uk/funding/application/fellowships/>. Separate handbooks dealing with NERC Studentships and Research Grants are also available on the website.

Foreword

The Natural Environment Research Council (NERC) Fellowship scheme is intended to provide opportunities for outstanding environmental scientists to develop, establish and maintain an international reputation in environmental research. Awards are available at two different levels, each corresponding approximately to different stages in an academic career.

As part of NERC's policy of promoting equal opportunities, NERC would welcome applications from candidates who wish to work on a part-time/flexible basis in order to combine domestic responsibilities with a career.

Please note that the financial conditions for applications received from 1 September 2005 differ to those governing awards made previously, due to the implementation of full economic costing (fEC).

Timetable For Applications For all Fellowship schemes:

Closing Date: 1 November 2011 *

Interviews: late April/early May

Results: late May

* this date may vary slightly in future years.

Changes and points to note:

Edition 2011-1.0 June 2011 was updated to Edition 2011-1.1 Aug 2011 to incorporate the revised Terms and Conditions of Research Council fEC Grants: <http://www.rcuk.ac.uk/research/Pages/grantstcs.aspx>

Paragraph 27: Fellows would only be expected to commit a small proportion of their time to the grant (as a PI/Co-I). For schemes such as the European Research Council (ERC) Starting Grants where the PI has to devote at least 50% of their time to the ERC grant, NERC would consider a request to convert the fellowship to 50% FTE.

Paragraph 40: Applications for Postdoctoral Research Fellowships will be accepted from PhD students, but awards may not start until NERC has received written confirmation of the outcome of the applicant's PhD viva.

Candidates should be expecting to submit their thesis before the date of the interview (early May).

Paragraph 60: Increase in the threshold for items of minor equipment from £3,000 to £10,000 (including VAT).

Paragraphs 73-75: Details of the financial sanctions that apply for the late submission of Final Expenditure Statements and Final reports and confirmation that financial sanctions will be applied automatically.

Paragraphs 85, 87, 89, 90: Requests for grant amendments and extensions to submission dates of final reports must now be submitted via the Je-S system.

Paragraphs 110-114: Updated information on applying for Antarctic logistic support

Section H: New paragraphs detailing changes to the requirements and advice involving engaging the public with NERC science.

Section G: All NERC fEC fellowships awarded after 1 April 2008 are subject to the Terms and Conditions of Research Council fEC Grants which will be attached to the award letter and are at Section G of this handbook. These Terms and Conditions will also apply to other NERC fEC Fellowships and the non-fEC aspects will apply to any remaining NERC Pre-fEC Fellowships. The Terms and Conditions of Research Council fEC Grants are in line with the previous NERC Fellowship Terms and Conditions.

CONTENTS

SECTION A – INTRODUCTION AND GENERAL PRINCIPLES	1
General Principles.....	1
The Concordat to Support the Career Development of Researchers.....	1
Fellowship Starting Dates	1
Health and Safety	1
Publication of Work/Open Source Software (OSS)	2
Science and Society	2
Research Governance.....	2
Ethics Policy.....	3
Use of Animals in Research	3
Knowledge Exchange	3
Data Availability.....	3
Research Grants and Studentships.....	3
SECTION B – TYPES OF AWARD	5
NERC Postdoctoral Fellowships	5
NERC Advanced Fellowships.....	5
RCUK Academic Fellowships	5
Royal Society Industry Fellowships.....	5
Daphne Jackson Trust Fellowships	5
SECTION C - ELIGIBILITY.....	6
Fellowship Applicant Eligibility	6
Principal Place of Research and Collaborative Research	6
Subject of Research	7
Resubmissions	7
Unsuccessful Applications	7
SECTION D - PAYMENTS AND COSTS	8
Fellowships Applications Prior to September 2005	8
Fellowships Applications After September 2005	9
Directly Incurred Costs.....	9
Directly Allocated Costs	9
Indirect Costs.....	9
Exceptions	10
Travel and Subsistence	10
Fellows Salary.....	10
Final Expenditure Statements and Sanctions.....	10
Use of NERC Services and Facilities	11
Access to NERC Data	11
SECTION E – REPORTS AND GRANT AMENDMENTS	12
Interim Reports	12
Annual Reporting of Output and Performance Measures (OPM).....	12
Final Reports.....	12
Transfer of a Grant to another Research Organisation	13
Money Follows Researcher	13
Extensions and Terminations	13
SECTION F - APPLICATION PROCEDURES	14
Applications Requesting Sea Time.....	16
Applications involving High Performance Computing.....	16
Applications requiring access to Airborne Research Facilities	16
Applications for Other NERC Central Facilities	16
Applications Requesting Antarctic Logistic Support	16
SECTION G – TERMS AND CONDITIONS OF RESEARCH COUNCIL FEC GRANTS	18

SECTION H - ADDITIONAL INFORMATION	29
Why you should engage with the public.....	29
Press and publicity.....	29
Websites	29
Training Courses	29
Exploitation and Intellectual Property.....	30
NERC Scientific Services and Facilities	30
NERC Data Centres	30
NERC Mission.....	30
NERC Science Areas	30
NERC Complaints Procedure	30
Statement of Council Policy on Vested Interests	30

Section A – INTRODUCTION AND GENERAL PRINCIPLES

1. The aim of the NERC Research Fellowship scheme is to enable a small number of outstanding research scientists to devote their time to research, to develop their potential and to produce work of international importance.

General Principles

2. The NERC Research Fellowship scheme is highly prestigious and awards are made following an open competition each year. The selection process includes the assessment of all applications by the Peer Review College in the first instance, and the subsequent external scientific peer review of short listed applications. All short listed candidates will be interviewed.
3. All Fellowships may be held full or part-time. NERC would welcome applications from candidates who wish to work on a part-time/flexible basis in order to combine domestic responsibilities with a career.
4. Applications are accepted and awards are made on the understanding that the Research Organisation and Fellow agree to the Terms and Conditions of Research Council fEC Grants (**Section G**) and the other regulations set out in this handbook.
5. NERC reserves the right to change these regulations, but significant changes will be signalled to the academic community as widely as possible. At any time, the regulations in force will be those contained in the most recent version of the Fellowship Handbook, which will be accessible on the NERC web page.
6. NERC does not accept liability for matters arising out of the conduct of a Fellow's research or from the application of research results.
7. For Fellowships awarded prior to September 2005, the award includes funding for the Fellow's salary and associated costs, a contribution towards the cost to the Research Organisation of accommodating the fellow (the Research Support Grant), and a Recurrent Grant to support equipment, consumables, all conference attendance and UK fieldwork. Travel and subsistence for overseas fieldwork could be requested separately at the time of application.
8. For applications from 1 September 2005, new fellowships will be awarded on the basis of a proportion of the full economic cost (fEC), calculated in accordance with the TRAC (Transparent Approach to Costing) methodology (Universities and other Higher Education bodies) or by an equivalent methodology by other Research Organisations. The proportion of fEC will be 80% from 1 September 2005.

The Concordat to Support the Career Development of Researchers

9. NERC is one of the signatories to the Concordat to support the career development of researchers which can be found at: <http://www.researchconcordat.ac.uk/>

Fellowship Starting Dates

10. Fellowships normally begin between 1 June and 30 November in the year the award is offered. A case must be made to NERC for a later start date, which must be within the current financial year.

Health and Safety

11. NERC places great importance on health and safety and it is a condition of any award that both the Research Organisation and the Fellow fully accept their responsibilities under all relevant legislation. NERC does not accept liability for any illness, injury or accident that occurs during the period of a Fellow's award.
12. Fellows should establish with the Research Organisation what insurance cover is provided for them,

particularly during any periods of fieldwork or during overseas collaboration. For pre-fEC awards, NERC can not provide funding for insurance. For fEC applications, NERC expect that insurance costs for fieldwork would usually be included in the Research Organisation's indirect costs.

Publication of Work/Open Source Software (OSS)

- 13.** All NERC award-holders are expected to publish the results of their research in the appropriate journals. They are, however, invited to consult NERC if other arrangements seem desirable. All published papers should acknowledge any support received from NERC and cite the award reference number(s) using the following form of words: *This work was supported by the Natural Environment Research Council [grant number xxx]*. Further guidance on acknowledgement of sources of funding is available from the Research Information Network (see <http://www.rin.ac.uk/funders-acknowledgement>).
- 14.** NERC is committed to the principles articulated in the RCUK statement on access to research outputs and to ensuring that the ideas and knowledge derived from its research, survey and monitoring activities are made available as widely, rapidly and effectively as practicable. NERC requires that an electronic copy of any published peer reviewed paper, supported in whole or in part by NERC-funding awarded after October 2006, is deposited at the earliest opportunity in an e-print repository. NERC also encourages award-holders to deposit published peer reviewed papers arising from awards made before October 2006. NERC has established an e-print repository (<http://nora.nerc.ac.uk>) to improve access to the outputs of its research centres and NERC award holders who do not have access to an appropriate repository through their host institution can deposit in the NERC repository. Items deposited in repositories must also acknowledge the support received from NERC, using the form of words given above.
- 15.** Full implementation of this requirement requires that current copyright and licensing policies, such as embargo periods, are maintained by publishers and respected by authors. Under this policy, at no time will individual authors be required to negotiate copyright and licensing arrangements with their publishers. NERC will work with publishers to put in place mechanisms for publishers submitting publications on behalf of authors, where this is possible. The version of the paper deposited will depend upon publishers' policies on deposit in repositories.
- 16.** NERC funded projects that aim to produce software outputs must specify a proposed software exploitation route at the start of the project. At the completion of a project, the software must be exploited either commercially, within an academic community or as OSS.

Science and Society

- 17.** NERC expects award-holders to actively communicate their NERC-supported science to the public, at both a national and local level (see Section H).

Research Governance

- 18.** 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. NERC expects research to be conducted in accordance with the highest standards of scientific integrity and research methodology and in line with the RCUK guidelines for the management of good research conduct. These cover three key areas:
 - Guidelines for the management of good research conduct
 - Good research conduct code
 - Guidelines for the reporting and investigation of unacceptable research conduct

The full text can be found at: <http://www.rcuk.ac.uk/review/grc/default.htm>.

Ethics Policy

19. The NERC Ethics Policy sets out guiding principles which provide the ethical framework that we aspire to in all aspects of our work. We expect those who receive funding from us to respect the policy. A paper copy of the policy will be made available to you near the start of your fellowship. The policy and additional information can be found on the website at <http://www.nerc.ac.uk/about/work/policy/ethics/>.

Use of Animals in Research

20. NERC, together with four other research funders, have produced a set of common principals for using animals in research and applying the 3Rs (replacement, refinement and reduction) which can be found at: <http://www.nerc.ac.uk/about/work/policy/animals.asp>.

Knowledge Exchange

21. Using NERC science for the benefit of the UK and wider forms part of the NERC mission. NERC science has the potential to underpin the development of sustainable solutions to environmental problems. It informs policy development and can lead to new and improved processes, services and products. NERC has a knowledge exchange policy and outline strategy (published on the website at: <http://www.nerc.ac.uk/using/introduction/>) that guide our activities. The strategy aims to maximise the exchange of all forms of knowledge arising from NERC funded science between the research community and its users. It also promotes entrepreneurship and commercialisation of NERC science.
22. NERC recognises that knowledge exchange can occur by various routes and actively supports partnership and other schemes that enable this. Recipients of NERC funding must try to ensure that the outcomes of research investment are used to the benefit of the UK and the international community. Government policy states that Research Councils should encourage the commercialisation of potentially valuable intellectual property. NERC has established a commercial team to assist in this role. Further information, including contact details, on Intellectual Property management and exploitation in NERC is available at: <http://www.nerc.ac.uk/using/business/commercial/intellectualproperty.asp>.

Data Availability

23. NERC believes that datasets collected as a result of projects are an important resource, which must be adequately managed. Fellows should therefore make sure that a NERC Data Centre (<http://www.nerc.ac.uk/research/sites/data/>) is aware of any significant datasets to be compiled as a result of their projects, so that the long-term future of these data can be planned. At the end of an award Fellows are required to offer the appropriate Data Centre a copy of any dataset generated, so that the data can be made available for other researchers. The Intellectual Property Rights to the data need not be transferred.
24. NERC reserves the right to access all unpublished papers, records, data or collections resulting from the work carried out under an award, some of which may be required to be deposited with NERC. Similarly NERC reserves the right to use information on the outcome of awards to report on achievements e.g. in Annual reports. NERC may, at any time, require detailed information on the results of work funded through awards for use in scientific or financial audits.

Research Grants and Studentships

25. All NERC Fellows may apply for research grants in accordance with the normal regulations and conditions, which require applications to be supported by the Research Organisation. Fellows should note that NERC research grants may be held only in eligible Research Organisations (detailed in the NERC Research Grants Handbook). A Fellowship does not carry with it any assurance that a research grant will be awarded, and Fellowship awards will not be made for work that is dependent on the success of future grant applications.

- 26.** Where a Fellowship is due to end before the end of the proposed grant, the application must be accompanied by a statement from the Head of Department guaranteeing that the Fellow will be employed in the Department until the end of the grant, or the application must be submitted jointly with at least one eligible Co-Investigator from the same department. Fellows full salaries are funded through the fellowship award, so Fellows will not be able to claim part of their salary on a research grant (funded under fEC), but should still record their estimated time commitment to the research project.
- 27.** Fellows would only be expected to commit a small proportion of their time to the grant (as a PI/Co-I). For schemes such as the European Research Council (ERC) Starting Grants where the PI has to devote at least 50% of their time to the ERC grant, NERC would consider a request to convert the fellowship to 50% FTE.
- 28.** Postdoctoral Research Fellows may be named as joint supervisors on research studentship proposals. NERC Advanced Fellows may apply for research studentships as sole supervisors.

SECTION B – TYPES OF AWARD

NERC Postdoctoral Fellowships

- 29.** NERC Postdoctoral Fellowships are tenable for periods of up to three years and are early career development awards, to provide further post-doctoral experience and to support outstanding environmental scientists as they become independent investigators. Up to 1 year can be spent at a collaborative institution in the UK or overseas.

NERC Advanced Fellowships

- 30.** NERC Advanced Fellowships are tenable for up to five years to enable outstanding mid career researchers to develop into team leaders of international standing and devote themselves to personal research. Up to 2 years can be spent at a collaborative institution in the UK or overseas.

RCUK Academic Fellowships

- 31.** The holder of a NERC Fellowship could also be awarded an RCUK Academic Fellowship. Further details of the Academic Fellowship scheme are on the RCUK website at: <http://www.rcuk.ac.uk/acfellow/>. An Academic Fellowship is a five-year award, which could be supplemented initially by funding from a NERC Fellowship (up to two years) and latterly by funding from the Research Organisation. During the five years the fellow would continue their research, whilst gradually taking on more academic activities such as writing grant proposals and lecturing. At the end of the five years, subject to probationary requirements, the Research Organisation should offer the fellow a permanent academic position. A NERC Fellow could apply for an Academic Fellowship at any point during their NERC Fellowship. However, an Academic Fellow could only simultaneously hold a NERC fellowship for the first two years of an Academic Fellowship, after which time the NERC Fellowship would be terminated.

Royal Society Industry Fellowships

- 32.** NERC also supports Royal Society Industry Fellowships: This scheme provides opportunities for scientists, mathematicians and engineers in either industry or universities/research centres to spend a period in the other sector. The Terms and Conditions of Research Council fEC Grants do not apply to this scheme. More details can be found at: <http://www.royalsociety.ac.uk/funding.asp?id=1125>.

Daphne Jackson Trust Fellowships

- 33.** NERC co-sponsors a number of Fellowships with the Daphne Jackson Trust, which aims to assist talented environmental scientists to return to their profession following a career break. Further details are available at: <http://www.daphnejackson.org/>. The Terms and Conditions of Research Council fEC Grants do not apply to this scheme.

Section C - ELIGIBILITY

Fellowship Applicant Eligibility

34. NERC Fellowships are open to any nationality.
35. The NERC Fellowship levels correspond to different stages in a typical research career, and there are no fixed age limits for the scheme. Full consideration will be given to applicants returning to science following a career break or where the candidate has come late to a research career.
36. Candidates who have previously held a NERC Postdoctoral or Advanced Fellowship can not apply for another fellowship at the same level. A Postdoctoral Fellow could subsequently apply for an Advanced Fellowship.
37. Applicants should not have a permanent academic position (or the equivalent in institutions other than universities). NERC (and other Research Council) staff in Bands 5 and 6 only can apply for a fellowship and if successful, would have to resign from their position in order to take up the fellowship.
38. Applications are especially welcome from candidates who are not yet established within the higher education system or who are intending to use the Fellowship as a means of (re-)establishing themselves in the United Kingdom following a period overseas.
39. All applicants must hold or expect to hold a PhD/DPhil, or be able to demonstrate equivalent and substantial research experience.
40. Applications for **Postdoctoral Research Fellowships** will be accepted from PhD students, but awards may not start until NERC has received written confirmation of the outcome of the applicant's PhD viva. Candidates should be expecting to submit their thesis before the date of the interview (early May). Some post-PhD experience is an advantage when seeking a Postdoctoral Research Fellowship, and typically candidates will have one to five years of postdoctoral experience. However, NERC is committed to supporting the best candidates and it is usual for some successful candidates to be awarded their PhD after having submitted their fellowship application.
41. Candidates for **Advanced Fellowships** must have had at least two years research experience at postdoctoral level, not necessarily in the UK, at the time of application. They must also have proved their ability as independent research workers and show potential as team leaders.

Principal Place of Research and Collaborative Research

42. Fellowships can be held at approved UK universities or colleges, NERC Research Centres and institutions that are eligible for responsive mode funding. The term "Research Organisation" will be used in this handbook to indicate the principal place of research. The Fellowship can not be held at more than one institution or department (for RAE or NERC algorithm purposes).
43. Fellowships may not be held overseas, but up to two years of any five-year period, or one year of a three-year Postdoctoral Fellowship, can be spent within a collaborative institution with the written support of both the institutions concerned. In addition Fellows may, subject to NERC's agreement, undertake fieldwork overseas during their award, as long as their base and main place of work remains in the UK.

Subject of Research

44. The Fellow's research must fall within the NERC remit (see <http://www.nerc.ac.uk/research/areas/>) and should provide scope for novel research. A project that is essentially an extension of a candidate's earlier research will not normally be considered suitable, although a proposal may have developed from earlier work.
45. NERC will not consider applications that fall within the remit of any other Research Council. Applications in borderline or interdisciplinary areas should be discussed with one of the Research Councils in advance; candidates must not submit duplicate applications. Proposals deemed more appropriate to another Research Council will be rejected and the applicant advised to submit to the other Research Council, if closing dates and scheme rules allow. The final decision on the eligibility of a topic of research for a NERC Fellowship rests with NERC.

Resubmissions

46. A similar proposal should not have been submitted (either concurrently or previously) as a grant application to NERC or another organisation. If a similar research programme has been submitted or is about to be submitted for fellowship funding to any other organisation, full details should be provided in the "other support" section of the application form.

Unsuccessful Applications

47. Applicants that are unsuccessful in their first attempt may reapply **once** with a related proposal. Such candidates should ensure they have obtained feedback from their first application (obtainable from the panel secretary) prior to submission of the second application. Alternatively, applications may be revised and resubmitted as a research grant, but only after at least 9 months from the original closing date.

Section D - PAYMENTS AND COSTS

- 48.** The way fellowships are funded changed in September 2005 to fEC basis. Sections 49 – 57 refer to funding arrangements for all fellowships awarded prior to September 2005. Sections 58 - 71 refer to funding arrangements for fellowships applications after September 2005 (November 2005 closing date onwards).

Fellowships Applications Prior to September 2005

- 49.** For fellowships awarded prior to September 2005, NERC will pay the Research Organisation for:
- the Fellow's salary, employer's superannuation and national insurance costs;
 - a Recurrent Grant to support the Fellow;
 - a Research Support Grant (RSG) as a contribution to the costs incurred by the Research Organisation in supporting the Fellow;
 - approved overseas fieldwork travel and subsistence expenses.
- 50.** For fellowships awarded prior to September 2005, Fellows' salaries do not attract indirect costs, and NERC will not fund bench fees, overheads or other similar costs. Research Organisations will be paid a Research Support Grant of £1000 pa in order to provide some direct assistance in meeting basic departmental costs incurred by Fellows (e.g. telephones, fax, photocopying and stationery).
- 51.** The salary, RSG and Recurrent Grant will be funded by NERC in the form of a grant to the institution. Payments for these costs will be made automatically and computer-generated as equal quarterly instalments for the duration of the award. Payments will not commence before the starting certificate has been received – this must be within 28 days of the start date.
- 52.** A Recurrent Grant is paid to the institution on behalf of each Fellow for all conference attendance (UK and overseas), travel and subsistence for UK fieldwork and all projects costs, including the purchase of equipment and consumables. The annual value of the Recurrent Grant for each Fellowship level is:
- Postdoctoral £8,500
 - Advanced £10,000
- 53.** The Research Organisation administers the Recurrent Grant, and the Fellow should submit requests for expenditure directly to the institution. Responsibility for the correct use of the Recurrent Grant lies primarily with the Research Organisation, which will be subject to the financial reporting requirements set out in Section G. The Recurrent Grant can not be used after the end of the fellowship.
- 54.** The Recurrent Grant is intended to support the Fellow's research. It may not be used to support salary costs or costs incurred by other researchers.
- 55.** NERC will provide funding for the fellow's salary costs in line with the nationally-agreed pay scales at the time of the award, with provision for future years based on the government's most recent estimate of inflation over the Fellowship period. Salary costs paid by NERC will therefore be cash-limited from the outset of the award, and no further adjustments will be made to the amount available.
- 56.** Notification of the overseas fieldwork budget will be provided with the award letter. The fellowship is cash-limited and further requests for funding for overseas travel will not be considered. Funding is not available to cover the cost of travel, medical or vehicle insurance, visas or foreign currency exchange.
- 57.** For Fellows who started prior to June 2004, claims for reimbursement should be submitted no later than three months after the expenditure has been incurred. NERC cannot make advance payments for fieldwork expenses. However, by prior agreement NERC will accept a travel agent's invoice for an air or

sea fare. For all Fellowships (including extensions) starting after June 2004, the approved overseas fieldwork payments will be made automatically to the institution, with the other fellowship payments, in quarterly instalments

Fellowships Applications After September 2005

- 58.** A NERC fellowship will fund 80% of the Full Economic Cost (fEC) of the proposal. The fEC is defined as a price 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. The Research Organisation must ensure that any part of the fEC of the project not funded by the NERC grant is committed to the project before it starts.
- 59.** NERC expects fellows to be based at a Research Organisation that can provide appropriate equipment and facilities so will not provide funding for large equipment on a fellowship. Awards are made on the presumption that there are adequate facilities to carry out the proposed research. NERC will not provide funding to upgrade laboratories to accommodate Fellows. Minor items of equipment (costing less than £10,000 including VAT), can be requested under the other Directly Incurred costs heading. All costs must be itemised and fully justified with the exception of: estates costs; indirect costs; some other Directly Allocated costs, e.g. general technical services. Proposals requesting computer equipment should justify the request not only in terms of the requirement of the equipment for the research project, but also in terms of the availability, or otherwise, of computing equipment provided by the institution. It is expected that basic non-specialist computers would be provided by the institution as part of a well-found laboratory, using its own resources, including indirect costs from grants.

Directly Incurred Costs

- 60.** Directly Incurred costs are 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. They can include:
- Staff: payroll costs for the fellow only. No research assistants or dedicated technicians can be requested.
 - Travel and subsistence: funds for travel and subsistence for use by the fellow, and any fieldwork assistants, where these are required by the nature of the work.
 - Other costs: costs of other items dedicated to the project including, for example, consumables, books, purchase/hire of vehicles and items of equipment costing less than £10,000 (including VAT).
 - For fEC applications and awards only, if it is the Research Organisations policy that they pay removal or relocation expenses, these can be listed on the fellowship application.

Directly Allocated Costs

- 61.** Directly Allocated costs 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:
- Estates Costs: these may include building and premises costs, basic services and utilities and any clerical staff and equipment maintenance/operational costs not already included under other cost headings. Estate costs are not payable for periods where the Fellow is based at an overseas institution for more than 6 months.
 - Other Directly Allocated Costs: these may include, for example, the costs of shared resources, such as pool technicians, fieldwork assistants or access to institutional research facilities and shared equipment.

Indirect Costs

- 62.** Indirect costs are non-specific costs charged across all projects based on estimates, which 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. Requests for minor

consumables, such as postage, photocopying and telephone costs should also be covered in the Indirect costs.

Exceptions

- 63.** There are no exceptions for fellowship applications.

Travel and Subsistence

- 64.** Funding will be provided for journeys, visits and fieldwork in the UK and overseas where these costs are approved at the outset of the grant. Each journey must be itemised, justified and fully costed in the grant application. No claims may be made for fieldwork or collaborative research carried out before the start of the Fellowship or after it has ended.
- 65.** Funding may be requested to enable staff on the grant to visit a recognised centre abroad to study new techniques and research developments where this would be of direct benefit to the research project.
- 66.** Any extended period of work in a collaborative institution within the UK or overseas may not normally take place until after the first year of an award. For fellowships funded under fEC arrangements, no estate costs will be paid for overseas periods of greater than 6 months. The Research Organisation's conditions of service regarding employees working abroad will apply during periods a Fellow is working in a collaborative institution overseas. No additional cost of living allowance will be paid but travel costs will be provided.
- 67.** Travel and subsistence rates for UK and overseas travel will normally be paid at the standard rate for the Institution.
- 68.** Requests for funding to attend conferences will be considered if the conference is directly relevant to the proposed research and if it can be shown that attendance will directly benefit the research. Each conference must be named and costed in the application.

Fellows Salary

- 69.** The requested starting salary should be indicated on the application form. Implementation of the single pay spine will vary at individual institutions and applicants should discuss with their proposed Research Organisation what would be a reasonable starting salary (based on the Fellow's age when taking up the appointment and previous salary level and experience). The Head of Departments statement in the application form should include justification for a higher than average starting salary
- 70.** NERC will provide funding for the fellow's salary costs in line with the agreed pay scales at the time of the award. Awards will include funding for future pay awards and inflation based on the Treasury Gross Domestic Product (GDP) deflators. The value of a grant may be varied in accordance with the Treasury GDP deflators or to take into account any other Government decisions affecting the funding available to NERC.
- 71.** The fellowship award is intended to support the Fellow's research. It may not be used to support salary costs or costs incurred by other researchers. Fellowship applications can not request funding for a research assistant or project student and should not include other investigator time.

Final Expenditure Statements and Sanctions

- 72.** Fellows may spend more than the yearly maximum at the discretion of the institution, but the total payable by NERC will not exceed the total amount to which the Fellow is entitled over the duration of the award, reduced pro rata if the award is terminated prematurely for whatever reason. Any overpayment must be repaid to NERC on the termination of the Fellowship.
- 73.** If the Final Expenditure Statement is not submitted within three months of the end of the award (and prior written agreement to a postponement has not been given by NERC), NERC will recover 20% of the

expenditure incurred on the grant. The final payment to the Research Organisation will not be released until both the Final Expenditure Statement and the Final Report (see Section E) have been received. NERC will recover 20% of the expenditure incurred on the grant if either the Final Report or Final Expenditure Statement is not received within three months of the completion of the research grant.

- 74.** If the Final Expenditure Statement has not been received within six months after the end of the award, NERC will recover all expenditure incurred on the entire award (except where NERC has given prior agreement to a postponement).
- 75.** Please note that these sanctions will be automatically applied by the RCUK Shared Services Centre.

Use of NERC Services and Facilities

- 76.** Applicants for NERC awards may also apply to NERC for access to any of the NERC-supported scientific services and facilities – see section F and <http://www.nerc.ac.uk/research/sites/facilities/>. For some of these facilities access is provided free to the user, subject to peer-review and prioritisation of applications to ensure that the highest quality science is supported. In other cases, the facilities are not operated by NERC and are funded on a *pay-as-you-go* basis. Applications for some facilities must be submitted with the fellowship proposal as outlined in Section F.

Access to NERC Data

- 77.** NERC has extensive holdings of environmental data. It is NERC's policy to make its data available to *bona fide* researchers, either free of charge, or at rates intended to recoup only the costs of servicing the request. If proposals will involve access to data held by NERC, Fellows should discuss their requirements in advanced with the appropriate NERC Data Centre (see: <http://www.nerc.ac.uk/research/sites/data/>) and identify any costs on the application form under the Directly Incurred cost heading. The Data Centres can also facilitate access to data held outside of NERC. Contact the relevant data centre for more information.

Section E – REPORTS AND GRANT AMENDMENTS

Interim Reports

- 78.** Interim reports are no longer required for any standard NERC Fellowship. Directed Fellowships may have separate reporting rules, which will be stated on the award letter.

Annual Reporting of Output and Performance Measures (OPM)

- 79.** NERC, along with the other Research Councils, is required to report to the Government annually on the outputs from fellowships during the previous financial year. A similar report is also made to NERC Council. This information is collected by the NERC Performance Management Team.
- 80.** All Fellows must complete an annual questionnaire on the specific outputs from their individual award. Information requested includes: publication details, new or improved products, services or equipment developed, knowledge transfer and possible beneficiaries, external co-funding, patents and public understanding of science initiatives. A short summary, in plain English, of scientific achievements or advances during the previous year will also be required.
- 81.** The OPM questionnaire will form part of the Research Outputs Database (ROD), and will be accessible via a web-based interface. Log-on details will be sent to the Fellows before the end of the financial year (31 March). ROD will be available year round for data entry and editing, however all information relating to a particular financial year must be entered by the following 31st March.
- 82.** OPMs are collected on all Fellowship awards up to three years after funding has ceased. Once the fellowship has ended, Fellows will be asked to complete information on their further employment.

Final Reports

- 83.** The Fellow will receive a final report reminder (and details of how to complete the report) a month before the end date. The final report form was replaced during 2005/06 with a fully electronic submission (Je-S) form. Fellows must ensure the following is submitted within three months of the end of the award:
- Any NERC Fellows who are not Je-S registered can request a word version of the final report form and must submit the completed (hard copy) final report form summarising basic information on original objectives, achievements, output etc, plus a list of any students supervised and their research topic and a full list of publications or;
 - All Je-S registered Fellows must submit a completed Je-S final report form, including a separate report of one side of A4 (minimum font size 11).
- 84.** Postdoctoral Fellows who are awarded an Advanced Fellowship must provide a final report covering their initial award.
- 85.** The Fellow must apply in writing to NERC for a postponement of the due date of the Final Report if there are exceptional reasons preventing its submission on time. Such requests should be sought from NERC by submitting a request for a time-only extension via the JeS system to the RCUK Shared Services Centre. This should detail the reasons for, and duration of, the request. Please note: any such request will not be automatically approved.
- 86.** Final Reports for fellowship awards will be evaluated by the relevant Science Programme Officer or his/her alternate and graded either satisfactory or unsatisfactory. Where a Final Report is judged to be unsatisfactory the Fellow will be asked to submit an amended report to provide a formal response to specific issues of concern. If the grading is upheld as unsatisfactory the Fellow will be barred from submitting further grant applications for a specified period.

Transfer of a Grant to another Research Organisation

- 87.** The decision to award the Fellowship will have been based partly on the choice of Research Organisation and the facilities available there. If a Fellow wishes to move to a different Research Organisation for whatever reason, prior approval must be sought from NERC. Any request must be made to NERC in writing, and must be accompanied by the full written support of the Fellow's current Head of Department. In addition the Head of Department in the proposed new Research Organisation will be required to confirm, in writing, the department's commitment to the Fellow and that the required facilities will be provided. In considering the application NERC will seek the views of the interview panel and Peer Review College members as appropriate. If a satisfactory arrangement cannot be reached between all parties, NERC reserves the right to end the Fellowship. A request to transfer to a new Research Organisation in the final six months of an award will not normally be supported. Fellowships will not be re-costed following transfer. Such requests should be sought from NERC by submitting a request to the Shared Services Centre through the JeS system.

Money Follows Researcher

- 88.** NERC has signed up to the EUROHORCS Agreement to promote mobility of researchers around Europe (details may be found at: <http://eurohorcs.drift.senselogic.se/initiativesandactivities/moneyfollowsresearcher>). It is possible for a researcher moving from one participating country to another to transfer the remainder of a research grant to the new Research Organisation. Such a move is subject to agreement by NERC, both research organisations and the counterpart funding organisation. Any requests to transfer a grant under this scheme will be dealt with on a case-by-case basis.

Extensions and Terminations

- 89.** NERC may, in exceptional cases, permit a short-term no cost extension to an award. This may occur only where unforeseen circumstances have severely affected the progress of the work and is not intended to allow the pursuit of new avenues of enquiry. A grant may also be extended to cover periods of absence (as detailed in GC7 in Section G). Such requests should be sought from NERC by submitting a request to the Shared Services Centre through the JeS system. Applications for an extension cannot be made after the grant has finished.
- 90.** Fellowship grants are personal awards so 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. Grant terminations should be notified through the JeS system.

Section F - APPLICATION PROCEDURES

- 91.** The next closing date for applications for all Fellowship schemes is **4pm on 1 November 2011**. This date may vary slightly in future years. Any application that does not comply with the specifications in this handbook will be rejected. Applications will normally be assessed within three months of receipt and all applicants will be informed whether or not their application has been shortlisted. Shortlisted applications will then undergo independent scientific peer review, and candidates will be interviewed during the following April/May. **Alternative interview dates cannot be arranged.** Reasonable travel costs will be reimbursed to candidates who attend interviews.
- 92.** Applications must be submitted using the Research Councils Joint Electronic Submission system (Je-S). To use this system, the applicant's Host Research Organisation must be registered as a Je-S user. Full details are available on the Je-S website at <http://www.rcuk.ac.uk/je-s/>. Further information can also be obtained by contacting the Je-S helpdesk by email at JeSHelp@rcuk.ac.uk or by telephone on 01793 44 4164.

Summary of Requirements for Fellowship Proposals

Document Type	Postdoctoral Fellowship	Advanced Fellowship
Fellowship proposal proforma	Yes	Yes
Case for Support, including previous track record and description of proposed research.	Yes (8 page max)	Yes (10 page max)
Justification of Resources (2 page max)	Yes	Yes
Impact Plan (Pathways to Impact)	Yes	Yes
Letters of support from Project Partners	As required	As required
CV for fellowship applicant (2 page max)	Yes	Yes
Publication list	Yes	Yes
Head of Department statement	Yes	Yes
Personal reference	Yes, max one	No
Facility forms (HPC, Ship-time/Marine Equipment, Aircraft ASF/FAAM, Antarctic Logistic support)	As required	As required

- 93.** Applicants must ensure that their application is received by NERC by 4pm on the relevant closing date. They should leave enough time for their application to pass through their Host Research Organisation's Je-S submission route before this date. Applicants should ensure that the Head of Department is given adequate notice of the need to include a **Head of Department Statement**, which must be attached to the application prior to submission. Any application that is received after the closing date, is incomplete or does not meet NERC's eligibility criteria will be returned to the applicant and will not be considered.
- 94.** All candidates must nominate three or more scientific referees for the application, who will be able to assess the scientific content of the proposal. They should not be collaborators or be based at the

institution where the Fellowship would be held or where the candidate currently works. NERC reserves the right not to approach them. Full postal and email addresses should be provided.

95. Each application must be accompanied by a **case for support**. The case for support should detail the candidate's past and proposed research. The supporting case **must not exceed eight sides of A4 for postdoctoral fellowship applications and ten pages of A4 for advanced fellowship applications**, (including figures and references), and be of single spaced typescript. The font size must be no less than 11 point (Arial or equivalent) with margins of at least 2.0cm. References can be presented in a smaller font size if it is sufficiently clear to ensure good quality reproductions. Applicants should avoid the use of colour graphs or pictures, which will not be reproduced in colour for referees.
96. Each application should contain an attachment called "**justification of resources**", which should be a maximum of two sides of A4. All requested Directly Incurred costs (salary, consumables, travel and subsistence etc) must be detailed and well justified. All costs must be itemised and fully justified with the exception of: estates costs; indirect costs; some other Directly Allocated costs, e.g. general technical services. Further guidance on completing a justification of resources can be found at <http://je-s.rcuk.ac.uk/Handbook/index.htm> (Click: Guidance on completing a Fellowship proposal: Accompanying Documentation: Justification of resources)
97. All fellowship applications must include an Impact Plan, which will now be called Pathways to Impact. This will be assessed as part of the normal review process. Full details of the assessment of Impact Plans can be found on the NERC website at: <http://www.nerc.ac.uk/funding/application/pathwaystoimpact.asp>.
98. The choice of host institution must be justified in the application. If a candidate has been at the same institution both as an undergraduate and a postgraduate and does not intend to move now, the reason should be clearly stated. NERC believes it is often beneficial for candidates to undertake a fellowship at a different institution to where they received postgraduate training or are currently employed. Fellowships offer a degree of flexibility and autonomy beyond a standard postdoctoral position and fellows should be able to show independence and have the personality and skills to be able to exploit this freedom to establish links and collaborations. However, NERC recognises that there may be circumstances where moving institutions is not appropriate due to the institution providing unique facilities or opportunities or for domestic arrangements.
99. If any period(s) of research at either a UK or overseas collaborative institution is planned during the award, full details of the location should be provided at the time of application, and a letter of support from the collaborative institution should accompany the application. The applicant should highlight the benefits to be gained from the collaboration (research experience, training, techniques etc.).
100. A similar proposal should not have been submitted as a grant application (either concurrently or previously) to NERC or another organisation. If a similar research programme has been submitted or is about to be submitted for fellowship funding to any other organisation, full details should be provided in the "other support" section of the application form. NERC will not consider applications that fall within the remit of any other Research Council. Applications in borderline or interdisciplinary areas should be discussed with one of the Research Councils in advance; candidates must not submit duplicate applications.
101. A CV should be attached to the Je-S form, which should be a **maximum of two sides of A4**. It should not duplicate information submitted elsewhere, such as the publication list. Candidates must also attach a list of recent, relevant publications.
102. Letters of support should be submitted as an attachment with the application from any collaborators that have been detailed in the Partnership Details section of the application.
103. Candidates for a Postdoctoral Fellowship can include **one** personal reference for their application. The personal reference must be submitted electronically with the form. The personal referee could be a previous Head of Department, supervisor or collaborator but they **should not** be from the institution in which the fellowship would be held. The personal referee should state his/her relationship with the candidate, and give an assessment of the candidate's aptitude and general suitability for a research

fellowship. Also they should comment on the candidate's ability and standing as a scientific researcher and his/her future potential. Details of how to arrange for a reference can be found in the help text associated with the Je-S form or can be obtained by contacting the Je-S helpdesk (JeSHelp@rcuk.ac.uk or 01793 44 4164).

Applications Requesting Sea Time

- 104.** Applicants wishing to utilise NERC's marine facilities must complete an online Ship-time and Marine Equipment (SME) application form by creating a Cruise Profile through the Marine Facilities Planning webpage <http://www.noc.soton.ac.uk/nmf/mfp/mfp.php>. The Cruise Profile number should be included on the JeS grant proposal application form under Services and Facilities. Before final submission of the SME application Principal Investigators are required to speak to Marine Planning to discuss their requirements. Failure to do so may result in their cruise not being included in the NERC Marine Facilities Programme. This requirement is to ensure that a realistic start date and relevant costs are included in the grant proposal, and to confirm that NERC can supply the required capability. The Marine Planning contact is Dr Helen Beadman (habe@nerc.ac.uk) Tel 01793 411513.
- 105.** Confirmation that an application is fully funded must be added to the Cruise profile by the NERC marine facilities planning closing date of the 1 April, if it is to be considered for inclusion in the programme for the next financial year. Construction of the NERC marine facilities programme will commence in April with the first operational programme, for the following financial year (1st April to 31st March), being published in September. Funded applications received after 1 April closing date will only be scheduled in the programme if a suitable time window remains and there is enough time to obtain diplomatic clearances. Otherwise these applications will be carried over to the following year. No grant involving a Ship Time and Marine equipment application is allowed to commence until the application has been formally allocated a place in the NERC marine facilities programme.

Applications involving High Performance Computing

- 106.** NERC peer reviews and co-ordinates requests to use UK national High Performance Computing (HPC) facilities for research in the environmental sciences. Further information can be found at: <http://www.nerc.ac.uk/research/sites/facilities/hpc/> and www.epsrc.ac.uk/ResearchFunding/FacilitiesAndServices/HighPerformanceComputing
- 107.** Fellowship applications with High Performance Computing requirements should be accompanied by the relevant documentation. The procedure for applying and applicable forms can be found at <http://www.nerc.ac.uk/research/sites/facilities/hpc/applying.asp>. The NERC contact for High Performance Computing can be contacted for discussion via e.mail at: hpc@nerc.ac.uk

Applications requiring access to Airborne Research Facilities

- 108.** Applications requiring access to the Airborne Research Facilities must include a copy of the relevant facility Application Form, generated in consultation with the facility Operations Manager. Details can be found on the respective websites (Facility for Airborne Atmospheric Measurements at <http://www.faam.ac.uk> "Using FAAM" and Airborne Research & Survey Facility at <http://arsf.nerc.ac.uk> "How to Apply").

Applications for Other NERC Central Facilities

- 109.** Applications to use NERC central facilities other than sea time, High Performance Computing and Airborne Research facilities (see above), are made separately from Fellowship applications. Information on the application procedure for a particular facility can be found at: <http://www.nerc.ac.uk/research/sites/facilities/>. Requests for data held by the NERC Data Centres (<http://www.nerc.ac.uk/research/sites/data/>) may be made at any time.

Applications Requesting Antarctic Logistic Support

- 110.** Fellowship applicants can now apply to use the Antarctic Logistic Support offered by the British Antarctic Survey (BAS). Only in exceptional circumstances, and with the agreement of BAS, will NERC sanction

funding applicants to negotiate their own logistic arrangements with a commercial operator. In the event that BAS cannot support the fieldwork as proposed, applicants will be advised of what is feasible, thereby enabling the proposal to be modified accordingly. Very occasionally, the proposed logistics cannot be supported because it is evident that an unacceptably high level of risk is inherent in the plan. At its discretion, BAS may broker arrangements with other national Antarctic operators, or commercial logistic providers, to facilitate Antarctic fieldwork operations (especially in 'deep field' locations) and to ensure that NERC resources are used in the most efficient and effective manner.

- 111.** The closing date for applications for NERC's Antarctic Logistic Support will be 1st August of each year. This will be advertised on the NERC and the BAS website (<http://www.antarctica.ac.uk/afi/>) in April of each year. To ensure that the British Antarctic Survey (BAS) is able to consider the likely logistic support requirements at an early stage, before proposals have been developed in detail, applicants need to complete a [Preliminary Request for Antarctic Logistic Support form](#) and submit them to the Antarctic Funding Office (afibas@bas.ac.uk) by 1st August. The requests will be considered by a logistics panel and feedback will be supplied to applicants. Subject to the logistic requests receiving approval, applicants will be provided with a reference number to be entered on the detailed Antarctic Logistics Support Questionnaire along with the date that the logistics panel approval was received; further details will be provided in the feedback supplied to applicants.
- 112.** Applicants will need to submit the more detailed Antarctic Logistics Support Questionnaire, which can be found at: http://www.antarctica.ac.uk/afi/docs/forms/Logistics_form.doc, to their Fellowship application submitted through the Je-S system. The reference number and approval date of the Preliminary Request for Antarctic Logistic Support should be clearly stated on the form in the relevant sections. Please note that the Antarctic Logistics Support Questionnaire does not get sent out to Peer Review and is sent to BAS for their logistic planning.
- 113.** The approved Preliminary Requests for Antarctic Logistic Support will only be valid for a 12 month period from the date of application to BAS. Therefore, if you have received approval for logistic support and your Fellowship application is unsuccessful you will have to submit another Preliminary Request for Antarctic Logistic Support form to BAS, if you wish to submit a Fellowship application requesting Antarctic logistic support. Any applications that request Antarctic Logistic Support and attach the Antarctic Logistics Support Questionnaire without having received prior approval will not be accepted by NERC.
- 114.** Provision of Antarctic fieldwork support by BAS is not costed in grant applications; the support is provided free of charge to Investigators, as part of BAS National Capability. This includes use of Antarctic research station facilities, together with use of BAS ships and aircraft, and fieldwork support by Field General Assistants. However, there are specific costs that applicants will need to include their application; these are itemised at: http://www.antarctica.ac.uk/afi/apply_costs.php. Applicants are advised to speak with [Martin Miller](#) (Tel: 01223 221537, e-mail mfm@bas.ac.uk) at the NERC Antarctic Funding Office before submitting an application requesting Antarctic Logistic Support.

SECTION G – TERMS AND CONDITIONS OF RESEARCH COUNCIL FEC GRANTS

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.

- **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.
- **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:

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

Grant Conditions GC1 – GC25

GC 1 Responsibilities of the Research Organisation

- 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.
- 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.
- 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.
- 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. 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.
- The Research Organisation is expected to adopt the principles, standards and good practice for public engagement with research set out in the 2010 Concordat for Engaging the Public with Research: <http://www.rcuk.ac.uk/per/Pages/Concordat.aspx>. The Research Organisation must create an environment in which public engagement is valued, recognised and supported. 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.
- The Research Organisation must appoint a Research Fellow as an employee for the full duration of the award.
- 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.
- 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.
- 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.
- The Research Organisation must ensure proper financial management of grants and accountability for the use of public funds.

GC 2 Research Governance

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.

GC 3 Use of Funds

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.

GC 4 Starting Procedures

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.

GC 5 Changes in Research Project

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.

GC 6 Transfers of Funds between Fund Headings

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 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. 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.

GC 7 Extensions

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 Equality Act 2010 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 Equality Act, 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.

GC 8 Staff

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.

GC 9 Maternity, Paternity, Adoption and Parental Leave

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, 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 fulfil 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 Statutory Maternity Pay and Statutory Adoption Pay from HMRC.

Maternity, paternity, adoption and parental pay is 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 or 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.

GC 10 Sick Leave

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 for 100% of their contracted time on the grant (apart from staff acting as principal or 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 costs 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.

GC 11 Procurement of Equipment

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.

GC 12 Ownership and Use of Equipment

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.

GC 13 Transfer of a Grant to another Research Organisation

The Research Organisation must notify the Shared Services Centre via the Grant Maintenance facility in 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.

GC 14 Change of Grant Holder

Research Grants: The Research Organisation must consult the Research Council via the Grant Maintenance facility in JeS 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.

GC 15 Annual Statement

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.

GC 16 Expenditure Statements

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 or sick leave should be identified in the Absence 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.

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.

GC 17 Inspection

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.

GC 18 Final Report

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.

GC 19 Sanctions

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:

<http://www.rcuk.ac.uk/about/aboutRCUK/Efficiency/Pages/fap.aspx>

If the final report or the financial 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.

GC 20 Public Engagement

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.

GC 21 Exploitation and Impact

It is the responsibility of the Research Organisation, and all engaged in the research, to make every reasonable effort to ensure that the intellectual assets obtained in the course of the research, whether protected by intellectual property rights or not, are used to the benefit 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 all 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 grant 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.

GC 22 Research Monitoring and Evaluation

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.

GC 23 Publication and Acknowledgement of Support

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.

GC 24 Disclaimer

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.

GC 25 Status

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.

Section H - ADDITIONAL INFORMATION

Why you should engage with the public

NERC is committed to engaging the public with the science it funds, a commitment that is set out in the NERC Charter and endorsed by RCUK in the RCUK Statement of Expectation on Economic and Societal Impact (<http://www.rcuk.ac.uk/documents/innovation/expectationssei.pdf>). NERC award holders have a responsibility to communicate their research to audiences outside the scientific community – such as the public, journalists, schoolchildren, teachers, industry and policy-makers – and to explain how NERC science affects them.

Public engagement is an umbrella term for any activity that engages the public with research, from one-way communication like writing features or radio interviews, to interactive events that allow the public to take part in the research.

Applicants should outline their ideas and/or specific proposals for meeting their requirement to communicate in the case for support and the Pathways to Impact plan. Pathways to Impact allows researchers to apply for funds to support their work in delivering impact arising from their research.

Press and publicity

All award holders must contact the NERC communications team when they have had a paper accepted for publication, and if there are plans for any publicity around NERC-funded research. The communications team has excellent links to local, national and international media and can advise award holders on a variety of activities that will get the best coverage for your story. As well as press releases, these include content for Planet Earth Online (<http://planetearth.nerc.ac.uk/index.aspx>) – news stories, blogs, audio diaries, video and the Planet Earth Podcast – and writing features for Planet Earth magazine (<http://www.nerc.ac.uk/publications/planetearth/>).

Scientists often have to deal with contentious issues. Dealing with journalists or a questioning public in these circumstances can be intimidating. The NERC communications team is trained to deal with these situations and can offer advice, guidance and support.

For press enquiries: pressoffice@nerc.ac.uk

For Planet Earth Online and publications enquiries: editors@nerc.ac.uk.

Websites

Websites can be an ideal way to communicate with certain audiences but should only be developed if there is a clear goal and audience in mind. Public-facing websites may have to comply with Central Office of Information guidelines, and award holders should consider their ability to meet these when developing new content.

A list of guidelines is here: <http://coi.gov.uk/guidance.php?page=188>. Contact NERC communications team if there is doubt about which guidelines apply: editors@nerc.ac.uk. Research Organisation communications team should be able to advise award holders about what is necessary to comply with them.

Websites should be treated as any other public engagement activity. All the content should be accessible, using audio transcripts and closed captions where necessary, and captions should describe the content of the image or item they describe so text readers can make sense of them. It is good practice to evaluate the success of the site using a metrics service like Google Analytics, which will help track the number of visitors, page views and time spent on the site.

Training Courses

NERC's Engaging the Public with your Research course is free for NERC-funded research students, grant-holders and staff. If interested, please read the full details of the course and how to book (see <http://www.nerc.ac.uk/press/mediatraining.asap>). Anyone interested in public engagement can download a PDF of the course leaflet (see <http://www.nerc.ac.uk/publications/guidance/comyourideas.asp>), which is designed to help consider what public engagement activities will work best and how to approach them.

Exploitation and Intellectual Property

Details can be found on the NERC website at:

<http://www.nerc.ac.uk/using/business/commercial/intellectualproperty.asp>

NERC Scientific Services and Facilities

Details can be found on the NERC website at: <http://www.nerc.ac.uk/research/sites/facilities/list.asp>

NERC Data Centres

Details can be found on the NERC website at: <http://www.nerc.ac.uk/research/sites/data/>

NERC Mission

Details can be found on the NERC website at: <http://www.nerc.ac.uk/about/work/mission.asp>

NERC Science Areas

Details can be found on the NERC website at: <http://www.nerc.ac.uk/research/areas/>

NERC Complaints Procedure

Details can be found on the NERC website at: <http://www.nerc.ac.uk/site/feedback/complaints.asp>

Statement of Council Policy on Vested Interests

Details can be found on the NERC website at: <http://www.nerc.ac.uk/about/work/policy/vestedinterests.asp>