



CONDITIONS OF RESEARCH COUNCIL TRAINING GRANTS

Introduction

These terms and conditions relate to Training Grants (TGs).

These terms and conditions should be read in conjunction with the Statement of Expectations

(<http://www.rcuk.ac.uk/RCUK-prod/assets/documents/skills/statementofexpectation.pdf>)

and

Terminology of Training Grants documents (<http://www.rcuk.ac.uk/RCUK-prod/assets/documents/skills/RCUKCommonTerminologyforPostgraduateTraining2013.pdf>).

Training Grants awarded by the Research Councils listed below 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)

A Training Grant (TG) is a grant paid by a Research Council to a Research Organisation for the provision of postgraduate study. The Research Councils do not fund students directly, but fund Research Organisations (ROs) through Training Grants.

Subject to these terms and conditions, Research Organisations can decide on the level of stipend; the duration of a studentship; the format (e.g. part-time, industrial or work placement), and can adjust the number and start of awards within year and between years (where feasible).

Individual Councils may add additional conditions to the Training Grant to reflect the particular circumstances and requirements of their organisation, or the nature of a particular Training Grant.

Acceptance of a Training Grant constitutes acceptance of both the core conditions and any additional conditions. Any request by the grant holder to the Council to vary these terms and conditions must be submitted through the Je-S grants maintenance facility and approved in writing by someone authorised to do so on behalf of the Council.

References in these terms and conditions to statutory provisions and guidance include any subsequent amendments or re-enactments.

The Research Council reserves the right to amend these terms and conditions.

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Definitions

Training Account (TA): The term used to refer to the multiple Training Grants held by a Research Organisation from the same Research Council.

Training Grant: A grant providing funds for the training of students where the training leads to the award of a recognised postgraduate qualification.

Training Grant Condition (TGC): Terms and conditions are prefaced by the letters TGC.

Training Grant Guidance (TGG): Guidance is prefaced by the letters TGG.

Funding Assurance Programme (FAP): 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.

Fees: The funds required by a University for a Student to register for a higher degree.

Fees Only Award: The term used for a studentship which excludes funds for a stipend.

Je-S Studentship Data Portal (SDP): The Research Councils' web-based data collection system which Research Organisations use to return details of the students and student research projects funded from the Training Grant.

Research Council: Any of the bodies listed in the introduction.

Research Organisation: The organisation to which the TG is awarded and which takes responsibility for the management of the research training programme and the accountability of funds provided.

Stipend: The funds awarded by the Research Organisation to students to cover their maintenance while undertaking postgraduate training leading to the award of a postgraduate degree.

Students: The term used to identify postgraduates who are funded through the Training Grant.

Studentship: The term used for the funding award made by a research organisation to a student for the purpose of undertaking postgraduate training leading to the award of a postgraduate degree.

(A) Regulations

TGC 1 Data Protection Act

1. The Research Councils will use information provided on the Training Grant proposal, or equivalent, for processing the proposal or in relation to the administration of the Training Grant, for the award of any subsequent grant, and for the payment, maintenance and review of the grant. This includes data submitted through the JeS Student Details Portal (SDP).

2. Use of submitted data may include:

- Registration and processing of proposals;
- Operation of grants processing and management information systems;
- Preparation of material for use by reviewers 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 postgraduate training trends
- Policy and strategy studies.
- Meeting the Research Councils' obligations for public accountability and the dissemination of information.
- Making it available on the Research Council's web site and other publicly available databases, and in reports, documents and mailing lists.

3. Research Organisations should ensure that project partners and students are aware how information including personal data about their studentship might be used by both the Research Councils and the Research Organisation.

4. Research Organisations must provide, on request, a description of their students areas of study (updated abstracts), which the Research Councils might include in any of the Council's publications, such as Annual Reports or on website.

TGC 2 Freedom of Information Act and Environmental Information Regulations

5. 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.

6. 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.

7. 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.

8. 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 five working days.

9. 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.

(B) Responsibilities of the Research Organisation

TGC 3 Responsibilities of the Research Organisation

10. The Research Organisation is responsible for selecting, administering and supervising students throughout their period of training, in accordance with current good practice as detailed in the Quality Assurance Agency (QAA) publication: *UK Quality Code for Higher Education - Chapter B11: Research degrees*, and in accordance with any additional Research Council requirements, including the Research Council's statement of expectations (Appendix 1)

11. In particular, the Research Organisation must ensure that:

- Diversity and equality must be promoted in all aspects of the recruitment and career management of students
- Adequate facilities and resources are made available for the research training;
- A safe working environment is provided, meeting the requirements of health and safety legislation, and any other legislation concerning the health, welfare and rights of students, including the Data Protection Act;
- Projects lie within the remit of the Research Council funding the TG;

- Research Training Programmes contain good training in generic and transferable skills.

12. The Research Organisation must ensure that the research supported by the training 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. Where third parties, such as a regulatory body, become involved with investigating alleged breaches in legislation as a result of work funded by the Research Council, that Research Council must be informed immediately of the circumstances.

13. The Research Organisation must ensure proper financial management of TGs and accountability for the use of public funds. Research Organisations are expected to take reasonable steps to recover monies paid to students in advance who leave or whose studentship is terminated.

14. Research Organisations must ensure that when individuals accept a studentship, they are aware that they are authorising:

- their Research Organisation to disclose to the Research Council any information that the Research Council requests regarding the progress of their studies, the submission of their thesis (where appropriate), and the completion of their studies.
- their Research Organisation to disclose student contact details to the Research Councils. This is to allow correspondence from Research Councils to students. Correspondence is likely to be about funded courses or possibly asking for views about funded postgraduate training. Students may also be invited to events or conferences that the Research Councils fund.
- their Research Organisation to provide data on equality and diversity to allow Research Councils to help assess how effective policies and procedures are in eliminating unlawful discrimination and promoting equal opportunities. This information may be used anonymously for statistical purposes. It will be treated in confidence and in line with the Councils' data protection procedures.
- their Research Organisation to provide any such information requested on the Research Council's behalf to the Higher Education Statistics Agency (HESA) or any other organisation or agency empowered to act on the Research Council's behalf or on behalf of the Research Councils, including UK Shared Business Services (SBS) Ltd.
- the Research Council or a third party on behalf of the Research Council or RCUK, to contact a studentship holder beyond the life of their studentship for evaluation purposes.

Student Complaints/ Difficulties

15. The Research Organisation is responsible for ensuring that students and supervisors are aware of the Terms and Conditions and any associated guidance of the Training Grant.

16. The Research Organisation is responsible for ensuring that students and supervisors have access to effective procedures for resolving problems arising from the administration and supervision of the studentship.

17. The Research Organisation is responsible for ensuring that students are aware of the complaints procedures and the Quality Assurance Agency (QAA) guidance for students about how to deal with complaints about universities:

<http://www.qaa.ac.uk/Pages/Faqs.aspx>

(C) Research Governance

TGC 4 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 student's research project. Particular requirements are to ensure that all necessary permissions are obtained before the project begins, and that there is clarity of role and responsibility among the research team (including the student) 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

19. The Research Organisation is responsible for ensuring that ethical issues relating to a student's research project funded from the Training Grant 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

20. 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 questions 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.

21. 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

22. 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.

23. 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.

24. 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.

25. 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.

26. 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

27. The Research Organisation is responsible for ensuring that a safe working environment is provided for all individuals associated with a student's 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.

28. 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.

29. 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

30. 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 Concordat to Support Research Integrity (2012) (<http://www.universitiesuk.ac.uk/highereducation/Pages/Theconcordattosupportresearchintegrity.aspx>) and the Research Councils' Policy and Guidelines on Governance of Good Research Conduct (2013) and any subsequent amendments.

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

(D) Use of Funds

TGC 5 Use of Funds

32. The Research Organisation must ensure proper financial management of its Training Grants and accountability for the use of public funds. Subject to the following conditions, TG funds may be used, without reference to the Research Council, in such a manner as to best undertake the provision of training leading to the award of a postgraduate degree which must fall within the remit of the Council concerned.

33. 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 or other changes affecting the funding available to the Research Councils.

34. Training grant funds cannot be used to meet the costs of an activity that will fall beyond the actual end date of the Training Grant, e.g. when a student's support goes beyond the end date of the Training Grant or when travel falls beyond the training grant period, the costs cannot be charged to the Training Grant even if the tickets, etc. can be purchased in advance.

35. Other costs, for example those associated with the administration of the training, advertising costs and the costs of open days, may be incorporated into the fee level that the Research Organisation charges to the Training Grant as long as the same level of fee is used for UK/EU non-Research Council funded students on similar programmes. Such costs may not be taken from the Training Grant other than through the fee level, unless it is explicitly

included within the Training Grant.; nor may individual RC students be charged additional fees above the level paid by the Research Council.

36. Research Organisations are encouraged to use the flexibilities within the Training Grant to support students appropriately e.g. to take into account location or discipline. Where London Weighting is explicitly included within the Training Grant it must be passed on to the student.

Student Eligibility

37. The use of funding to provide full awards or fees-only awards should be in accordance with student eligibility as defined by the Council.

38. Students in full-time employment are not eligible for a stipend of any kind from the Research Councils. If a student is employed full-time, they are considered to have the necessary financial support in place to undertake their studies. A student in part-time employment may be eligible for a part-time award. Part-time awards should not be less than 50% of full time.

TGC 6 Student eligibility

39. The Research Councils do not fund students directly, but fund Research Organisations (ROs) through Training Grants. Training Grants include funding for fees and stipends. The following section outlines the eligibility rules for Research Council postgraduate funding.

40. The Research Councils place full reliance on residential eligibility checks undertaken by the RO. When submitting student details to the Student Details Portal, ROs are confirming that they have checked the eligibility of the student to receive the level of funding allocated to them.

41. Heads of Department, prospective supervisors and potential students who require advice on eligibility should contact the Research Organisation Registrar's Office, the postgraduate admissions office (or equivalent).

Residence requirements

42. For purposes of residence requirements the UK includes the United Kingdom and Islands.

43. To be eligible for a full award a student must have:

- Settled status in the UK, meaning they have no restrictions on how long they can stay

and

- Been 'ordinarily resident' in the UK for 3 years prior to the start of the studentship. This means they must have been normally residing in the UK (apart from temporary or occasional absences)

and

- Not been residing in the UK wholly or mainly for the purpose of full-time education. (This does not apply to UK or EU nationals).

44. To be eligible for a fees only award:

- Students from EU countries other than the UK are generally eligible for a fees-only award. To be eligible for a fees-only award, a student must be ordinarily resident in a member state of the EU, in the same way as UK students must be ordinarily resident in the UK.

Note: These eligibility criteria are based on the Education (Fees and Awards) (England) Regulations 2007 and subsequent amendments.

45. Research Councils will undertake periodic reviews of Research Organisations within the Funding Assurance Programme (FAP) programme to seek assurance that Training Grants are managed in accordance with the terms and conditions under which they are awarded. These include the condition that the use of funding to provide full awards or fees-only awards should be in accordance with student eligibility as defined by the Council.

Student Training

46. Funds may be used for student stipends, fees, project costs and the incidental costs of research training, such as travel and conference attendance.

47. Students may be full or part-time. The Research Organisation may decide on the period of support for individuals. Doctoral Studentships will range between three years and up to a maximum of four years full time support depending on the student, subject and Research Council expectations. Research Organisations must agree with students, at the outset, the expected start and end dates for the funded period of study. Part time awards should not be less than 50% of full time. Where the period of support for a student extends beyond the end date of a Training Grant, the balance of support can be provided by the next or subsequent Training Grant or from another source.

48. For any studentship where funding is drawn from a TG or TA, either:

a) For a fees-only student, all the student's fees must be funded from the TG or TA of a single Council;

or

b) Where a student is eligible for a full award, at least 50% of the total cost of the studentship must be drawn from the TG or TA of a single Council. The remaining costs may be funded from other sources, such as the research organisation's funds or from research partners. Joint Research Council funding of multidisciplinary awards is possible on the basis of 50:50 funding from two Councils' TG/TAs across the period of award; in that case one of the Councils must be designated as the majority funder for monitoring and information purposes. A student must not be expected to bear the cost of any shortfall in funding.

49. Where a student is eligible for a stipend, the stipend awarded must be at least equal to the Research Councils' minimum rates for the relevant academic year. The Research Organisation may, if it wishes, pay a higher level of stipend, provided that it does not overspend the value of the Training Grant.

50. The allocation of funds for the incidental costs of postgraduate training should have regard for the nature and complexity of projects and the need for fieldwork, conferences, broadening training and industrial or work placements.

51. Organisations may take higher fees from TGs, if required, but it must be no higher than the level of fee that is used for UK/EU non-Research Council funded students on similar programmes. Organisations that charge above the Research Council rate for fees may not charge the student for these extra fees.

52. The Research Organisation or other funder must not apply any terms and conditions to a student's award which conflict with these Terms and Conditions or any guidance issued by the Research Councils.

Changing between full-time and part-time study

53. Research Organisations may approve a change in the mode of study from part-time to full-time or vice-versa.

54. Possible reasons for a change of mode of study may include changes in a student's personal or employment circumstances. Research Organisations should not approve a change of the mode of study for health reasons unless medical evidence indicates that part-time study is feasible and full-time study is not. In other cases, a suspension is the more appropriate course of action.

55. ROs should not, without consultation with the Research Council, agree:

- More than one change of mode of study during any one studentship.
- A change of mode of study in the final six months of a studentship.

Extensions and Suspensions of Studentships

56. Research Councils expect students to complete their training in a single continuous period and do not encourage the suspension of awards. Where suspensions are agreed, total periods of suspension must not normally exceed one calendar year during the lifetime of the award. Sympathetic consideration should be given to requests for abeyance due to personal or family reasons. The studentship end dates and expected submission dates should be amended on the Je-S SDP to reflect periods of abeyance.

57. The Research Organisation must make suitable arrangements for coping with absences of students for illness, maternity leave, Ordinary Paternity Leave, Additional Paternity Leave, adoptive leave, extended jury service and holidays.

58. Research Council funded students are entitled to 26 weeks of maternity leave on full stipend and a further 26 weeks of unpaid maternity leave. Fathers are entitled to up to 10 days paid Ordinary Paternity Leave on full stipend. Fathers may be entitled to up to 26 weeks of Additional Paternity Leave; this may include paid and unpaid leave, depending on the individual circumstances, any paid leave should be at full stipend. There is no qualifying period for maternity or paternity leave.

59. Payment of a studentship can continue for absences covered by a medical certificate for up to thirteen weeks within any 12-month period. If the illness lasts, or is expected to last, for more than thirteen weeks, the Research Organisation should make arrangements to suspend the studentship.

60. The Research Organisation must ensure that it is aware of unauthorised absences by students, so that future payments may be stopped and those already made in advance of need can be recovered. Students may opt to study part-time (at least 50%) following a change in their personal circumstances.

61. The Research Organisation should advise the student of the terms and conditions under which maternity, paternity or adoption leave and stipend is given and what duration of study is required on return to study after such leave in order for the student to keep the whole value of funding paid during the period of leave. This may be calculated on a sliding scale. The Research Organisation should have in place a policy that requires it to make every effort to recover the value of maternity, paternity or adoption funding from students who decide not to return to study after maternity, paternity or adoption leave.

Extensions

62. The period of a student's support may be extended at the Research Organisation's discretion to offset a period of genuine absence e.g. for maternity leave, Additional Paternity Leave, adoptive leave, extended absences covered by a medical certificate,

extended jury service, subject to finding the necessary funding from within the Research Organisation's Training Account. Where there are insufficient funds in the Training Account to meet a period of genuine absence, the Research Council will consider compensation at the end of the Training Grant to cover the additional costs arising providing the Research Organisation can demonstrate that it lacks the flexibility to meet the costs and that it has no other contingency funding or concurrent Training Grants on which it could draw.

Annual Leave

63. Research Organisations should ensure that a clear policy on annual leave entitlement exists and that this is made known to the student at the start of their studentship

Student Transfers

64. The Training Grant will not be amended to take account of the transfer of a student from one Research Organisation to another or from one department to another within the Research Organisation.

65. Transfers may be arranged where they are essential to the student's training e.g. when a supervisor is moving and no appropriate alternative supervision is available. Transfers should be by agreement between the Research Organisations concerned, and must be in accordance with any additional Research Council requirements. Research Councils expect that the arrangements for such a transfer would include the relevant funds and that the Research Organisation, department or supervisor to which the student is transferring will provide a suitable training experience, including significant research activity in a research area appropriate to the studentship. The SDP should be updated following a student transfer (noting that for doctoral students the 'submitting RO' must be changed (as well as the 'degree awarding RO') to ensure that the correct Research Organisation is surveyed). Research Organisations must not agree a transfer to an institution which is not eligible for that Research Council's funding or to a course or programme of study which falls wholly outside the Research Council's remit. If the transfer occurs after the end of the award but before the submission date, the student will be surveyed at the original RO.

Disabled Students' Allowances

66. Students funded from a Training Grant are eligible for additional support where, because of disability, they are obliged to incur additional expenditure in undertaking their training. Application and payment arrangements will be as specified by the RCUK Disabled Students' Allowances Framework Document and associated information (see RCUK website: <http://www.rcuk.ac.uk/skills/training/>).

67. Where a student is funded from two Councils' Training Grants, the application will be considered by the Council which is acting as the majority funder (see above).

Place of Tenure

68. The student must live within a reasonable travel time of their Research Organisation or collaborative organisation to ensure that they are able to maintain regular contact with their department and their supervisor. This is to ensure that they are not isolated and get the full support, mentoring, training and access to facilities they need to complete their research successfully and to a high standard. The only exceptions to these requirements are to cover periods of absence that are an essential part of their study e.g. fieldwork, study visits or conference attendance.

Demonstrating, Teaching and Other Paid Work

69. Research Council stipends are training awards and do not cover remuneration for duties which would reasonably be considered to constitute employment. Where students funded through Research Council Training Grants undertake demonstration or teaching, or other types of employment in an institution, they should be paid for this in addition to receiving the minimum Research Council Stipend.

Other income and awards

70. Research Council studentships are not means-tested. Any income received from other sources during the tenure of a studentship will not normally (see below) affect either the eligibility for the studentship, or the level of grant that a student will receive.

71. It is not permissible for a student to hold two awards concurrently for the same purpose. Thus if a student were to gain an award such as a scholarship from another body for study abroad for one year, for example, the studentship should be suspended for that period.

(E) Training Grant Arrangements and Starting Procedures

TGC 7 Training Grant Arrangements and Starting Procedures

72. Training Grants are for a specified number of years, adopting fixed start and end dates. The process for activating a grant consists of two separate stages. The Research Organisation must formally accept the Training 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 one month of a student starting. These notifications will be taken as acceptance of the Training Grant on the terms and conditions stated, and will activate profiled payments.

73. Payment arrangements will be as specified by the Research Council. Expenditure may be incurred prior to the start of the Training Grant and subsequently charged to the Training Grant, provided that it does not precede the date of the offer letter.

74. It is the responsibility of the Research Organisation to ensure that any student in receipt of Research Council funding accepts all the Research Council terms and conditions applicable to their award and that the student has been made aware of the relevant Research Council guidance.

(F) Financial Reporting, Inspection and Sanctions

TGC 8 Annual Statement

75. 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.

TGC 9 Expenditure Statements

76. At the end of the Training Grant, the Research Organisation must complete and return a Final Expenditure Statement (FES) detailing expenditure incurred over the full period of the Training Grant. The FES must be received within three months of the end date of the Training Grant. Once an FES has been received by the Research Council, and expenditure incurred has been reconciled against payments made, the statement will be considered as final.

77. 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 Je-S, for the submission period to be extended. The written request must be made before the due date passes.

78. 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 Training Grant, or to provide supplementary information in support of an interim or final expenditure statement.

TGC 10 Inspection

79. The Research Council reserves the right to have reasonable access to inspect the records and financial procedures associated with Training Grants or to appoint another body or individual for the purpose of such inspection.

80. The Research Organisation must, if required by the Research Council, provide a statement of account for the Training 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 Training Grant terms and conditions.

81. Research Councils will undertake periodic reviews of Research Organisations within the Funding Assurance Programme (FAP) programme to seek assurance that Training Grants are managed in accordance with the terms and conditions under which they are awarded.

TGC 11 Sanctions

82. The Research Council reserves the right to reclaim funding or impose financial sanctions where it identifies any area of non-compliance with the terms and conditions of the Training Grant, or if any other information or circumstances come to light which suggest a studentship has not been awarded or managed appropriately.

83. Further details on the assurance requirements of the Research Councils can be found at: <http://www.rcuk.ac.uk/about/aboutRCUK/aims/units/Assurance/>

84. If the final expenditure statement is not received within the period allowed the Research Council may recover 20% of expenditure incurred on the grant. All payments may be recovered if the statement is not received within 6 months of the end of the grant. Research organisations may appeal against a sanction, but must do so within 60 days of the pay run in which the sanction was imposed.

(G) Public Engagement

TGC 12 Public Engagement

85. It is the responsibility of the Research Organisation, Supervisors and Students to actively 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, or earmarked funding may be provided in the Training Grant for this purpose.

86. 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/pe/Concordat/>. 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.

(H) Monitoring and Information Requirements

TGC 13 Monitoring and Information Requirements

87. The Research Organisation will be required to provide the Research Council with standard information on students and their training programmes through the Je-S Student Details Portal (SDP) for inclusion in the Research Council's management information system. Where a student is funded from two Councils' TGs, the information should be returned to the Council which is acting as the majority funder (see above), and not returned to the other council. Details of the secondary Research Council funder would be included in the submitted data. Information should be entered within one month of the student starting their studies and updated as soon as any changes occur. Failure to provide this information may result in sanctions being imposed on future payments.

88. The Research Organisation should inform the Research Council of any significant changes to the student's research project funded from the TG, including change of supervisor or project objectives, by updating the SDP.

89. The Research Council expects that the start and end dates for the funded period of study will be agreed at the outset and would not be amended during the doctoral project unless exceptional circumstances apply. The Research Council will monitor any amendments to the start and end dates and reserves the option to apply original dates for assessing when thesis submission is due.

90. The Research Council should be notified through the Je-S SDP of students whose awards have been terminated, extended or transferred within a month of the change being formally agreed by the Research Organisation.

91. Research Organisations are also required to return information via the Je-S submission rate survey on the date of submission of the student's thesis.

92. The Research Organisation must make a clear statement, in relation to the Data Protection Act 1998, that personal information on students is being collected on behalf of the Research Council.

93. The Research Councils have also developed processes to collect information on the progress, outputs and outcomes of Training Grants, and have issued Council-specific guidance on these including the timing and scope of reporting that is required. The Research Organisation must ensure that information is returned in accordance with the guidance provided.

(I) Outcomes

TGC 14 Exploitation and Impact

94. It is the responsibility of the Research Organisation, and all engaged in the research, to make every reasonable effort to ensure that the outcomes obtained in the course of the research, whether patentable or not, are used to the advantage of society and the economy. Research outcomes should be disseminated to both research and more widespread audiences - for example to inform potential users and beneficiaries of the research.

95. Responsibility for the arrangements relating to the ownership and management of intellectual property rests with the Research Organisation. The Research Organisation will be expected to put in place an agreement regarding the relative contributions to the creation of intellectual property and any associated revenue sharing arrangements before commercialisation or exploitation commences.

96. 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.

TGC 15 Publication and Acknowledgement of Support

97. The students supported by the Training Grant should, subject to the procedures laid down by the Research Organisation, publish the results of their research in accordance with normal academic practice and the RCUK policy on open access:

<http://www.rcuk.ac.uk/RCUK-prod/assets/documents/documents/RCUKOpenAccessPolicy.pdf>.

98. 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 Training 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 Training Grant.

99. Publications costs arising from students supported by the Training Grant should be paid for using, where applicable, funds from the block grant for publication costs given to the Research Organisation from the relevant Research Council. If this is not appropriate then the flexibility within the Training Grant should be used to cover these costs.

100. Journal publications should acknowledge the funding source using the standard format agreed by funders and publishers, as specified below:

101. For articles published in journals, or deposited in institutional or subject-based repositories, the acknowledgement of funding should take the form of a sentence as in the following example, with the funding agency written out in full, followed by the Training Grant number in square brackets.

102. Example 1:

‘This work was supported by the Medical Research Council [grant number xxxx].

Multiple grant numbers should be separated by comma and space. Where the research was supported by more than one agency, the different agencies should be separated by a semi-colon, with "and" before the final funder.’

103. Example 2:

‘This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number zzzz]; and the Engineering and Physical Sciences Research Council [grant number aaaa].’

104. In the case of Ph.D. theses funded by Research Councils, metadata describing the thesis should be lodged in the institution's repository as soon as possible after award and a full text version should be available within a maximum of 12 months following award. It is expected that metadata in institutional repositories will be compatible with the metadata core set recommended by the *ETHOS e-thesis online service*.

(J) Disclaimer

TGC 16 Disclaimer

105. The Research Council accepts no liability, financial or otherwise, for expenditure or liability arising from the research funded by the Training Grant, except as set out in these terms and conditions, or otherwise agreed in writing.

106. 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.

107. The Research Councils reserve the right to terminate the Training Grant at any time, subject to reasonable notice and to any payment that may be necessary to cover outstanding and unavoidable commitments.

108. Further to TGC5, 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 change. Changes to payment profiles may affect the overall value of the Training Grant.

(K) Status

TGC 17 Status

109. 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.

110. 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.

111. These terms and conditions, together with any additional conditions set out in the Training Grant, contain the whole agreement between the Research Council and the Research Organisation in relation to the stated Training 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.