

**Details of the call for proposals to the
Beyond Text: Performances, Sounds, Images,
Objects Programme**

Follow on Funding Scheme



Arts & Humanities
Research Council



Introduction

The AHRC strategic programme Beyond Text: Performances, Sounds, Images, Objects has now passed its mid-point and many of its funded projects are starting to deliver exciting new information, insights, methodologies and outputs. A number of key themes are now emerging from the funded projects, and this scheme is designed to ensure that we gain maximum advantage from the work that the programme has invested in.

The Arts and Humanities Research Council invites proposals for Follow on Funding under the Beyond Text: Performances, Sounds, Images, Objects Programme related to 3 themes within the Beyond Text Programme (detailed below). This guidance document gives information about the eligibility criteria, assessment criteria, information on how to apply, eligible dates and terms and conditions of awards. Please note the Beyond Text Follow On Funding Scheme is only open to current or past Beyond Text award holders.

You should ensure that you have read the *Beyond Text Programme Specification* document which can be downloaded from the AHRC website at <http://www.ahrc.ac.uk/FundingOpportunities/Documents/Beyond%20Text%20Programme%20Specification.pdf> before submitting a proposal.

This guidance should be read in conjunction with the scheme Terms and Conditions (Annex B) and information contained in the AHRC Research Funding Guide which is available at www.ahrc.ac.uk

Number and Value

Funding is available for approximately 10 awards (depending on the value), at full economic costing of up to £30,000 and for a maximum duration of 12 months. Please note that there are specific requirements regarding the start date of projects.

Themes

The themes for this call grow out of the original broad thematic issues identified at the start of the Beyond Text Programme <http://www.ahrc.ac.uk/FundingOpportunities/Documents/Beyond%20Text%20Programme%20Specification.pdf> but reflect the results that have been achieved by the PIs during their research and will allow PIs in the programme to ensure that their work has the potential to make a major impact on the wider community. Any proposal submitted to this call must be relevant to one of the following themes:

- Archiving the Ephemeral
- Learning across and between the generations
- Heritage and Values

Activities must meet the aims of the follow on funding scheme (detailed below), and Annex A provides some suggestions of possible activities to stimulate ideas.

Follow on Funding Scheme Outline

The AHRC Beyond Text Follow-on Funding Scheme provides funds to support innovative engagements with non-HEI partners which foster potential pathways to impact. Funds will be awarded for knowledge exchange, public engagement, dissemination or commercialisation activities that arise unforeseeably during the lifespan of or following a Beyond Text award.

Proposed activities should be creative and innovative, enhance the value and benefit of the AHRC Beyond Text-funded research project, and demonstrate potential to deliver significant economic, social, cultural and/or policy impacts.

The aims of the Follow-on Funding Scheme are:

- To explore unforeseen pathways to potential impact within the lifespan of an AHRC research project or to support supplementary activities to be pursued after the completion of a project
- To enhance the value and benefits of AHRC-funded research beyond academia;
- To encourage and facilitate a range of interactions and creative engagements between arts and humanities research and a variety of user communities including business and commercial, third sector and heritage sector, public policy, voluntary and community groups and the general public.

Types of activity supported by this scheme might include:

- Knowledge exchange, public engagement or active dissemination activities which engage new user communities and audiences
- Commercialisation or proof of concept
- Activities that build upon knowledge exchange and impact pathways already undertaken
- Conferences and seminars for a policy/practice audience
- Pursuit and development of new user contacts
- Feasibility studies to test the potential application of ideas emerging from the research in different business, policy or practice contexts

The Follow-on Funding scheme does not support pathway to impact activities that have already been taken account of within the original award, neither is it for use to simply extend an existing grant or award.

Funding available and duration

The scheme offers flexible funding support to encourage creativity, accommodate risk and promote innovative activities.

The Beyond Text Follow-on Funding Scheme offers awards of up to £30,000 (fEC) for a maximum of 12 months to support emergent or supplementary knowledge exchange, public engagement, active dissemination or commercialisation/proof of concept activities. Awards can also be used for shorter, higher risk activities, for example testing the feasibility of an idea, exploring new partnerships for knowledge exchange, testing the market or investigating a new business model.

Projects must have a start date of **14th February 2011**.

Co-funding support from a partner organisation is desirable where appropriate but not a condition and may be in cash or in kind depending on the nature of the activity.

The AHRC Beyond Text Follow-on Funding scheme will be a one off scheme.

Definitions

The AHRC interprets knowledge exchange, dissemination, public engagement and impact in the following ways:

Knowledge Exchange

Knowledge exchange refers to the processes by which new knowledge is co-produced through interactions between academic and non-academic individuals and communities. This includes innovative activity brought about by the application of existing knowledge to **new contexts**. AHRC's interpretation of knowledge transfer assumes that the new knowledge that is created through such engagements delivers significant added value for both the academic and non-academic parties. The AHRC does not restrict the range of non-academic sectors that may seek to exchange and apply knowledge in this way, nor the methods by which such interactions may occur.

Public Engagement

Public Engagement is an umbrella term for any activity that engages the public with research, from lectures and debates, enactments and public performance to festivals, consultations, public dialogues and the co-creation of research. Public engagement reaps its greatest rewards to both researchers and public when it involves two-way aspects of listening and interaction, but can incorporate one-way flows of information such as media engagement, lifelong learning and schools-based activities, which all serve to increase public understanding of arts and humanities research.

Dissemination

Dissemination refers to the processes by which knowledge that is generated through academic research is made available to audiences beyond the immediate peer community. Methods of dissemination can be employed to maximise the accessibility of the research to non-academic sectors and this may well lead to subsequent knowledge transfer

interactions. In this way, active dissemination may constitute part of the knowledge transfer process.

Impact

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

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

Impact can mean the 'influence' of research or its 'effect on' an individual, a community, the development of policy, or the creation of a new product or service. It relates to the effects of research on our economic, social and cultural lives.

There are a wide variety of pathways through which arts and humanities research can create value. For example, arts and humanities create social and economic benefits directly and indirectly through improvements in social and intellectual capital, social networking, community identity, learning and skills and quality of life.

Further information about AHRC's approach to impact is available at <http://www.ahrc.ac.uk/FundedResearch/Pages/ImpactAssessment.aspx>

Follow-on Funding Scheme criteria

AHRC encourages applicants to submit creative and innovative ideas under this scheme and this is a main criterion of funding support. Proposals will also need to demonstrate the following:

- the programme of activity is based on research previously funded or currently being funded by the AHRC Beyond Text Programme
- the proposal will exploit pathways to impact opportunities that could not have been foreseen at the application stage and/or that have not already been taken account of in the original award
- the potential for the proposed activities to enhance the value and impact of the research
- the feasibility of the project, given the planned timetable, resources and project management
- value for money represented by the proposed activities
- how partners will work together to achieve the aims of the activity (where appropriate)

- extent to which the project responds to a well-defined audience need
- the level of engagement with existing and potential audiences/users and the extent to which their needs have informed the development of the proposal

Eligibility criteria

Eligibility criteria relating to the Follow-on Funding Scheme are outlined below:

- The project must be based in and submitted via a recognised Research Organisation: either a UK Higher Education Institution (HEI) which is directly funded by HEFCE, DEL, HEFCW or SFC, or an AHRC-recognised Independent Research Organisation (IRO). For more information on eligible organisations, please see *Section Three of the AHRC Research Funding Guide*.
- Applicants must have a contract of employment with their Research Organisation in place for the duration of the award and the monitoring period (three months after the end of the award).
- The programme of activity must be based upon research previously funded or currently being funded by the AHRC Beyond Test Programme. Normally this research will have been conducted by the proposed Principal Investigator (and/or proposed Co-Investigator(s)).
- The Follow-on Funding Scheme will not support individuals or a team to conduct substantively new research projects neither is it for use to simply extend an existing grant or award; any new research activities included within applications must be directly related to the development of potential pathways to impact from the existing research. **Note:** PhD students are not eligible to apply for Follow-on Funding
- Follow-on funding is primarily aimed at supporting creative and innovative new ideas rather than repeating or continuing existing activities, unless the latter is an integral part of a broader approach to testing the feasibility of opening up new pathways to impact.
- The programme of activities must be conducted by the Principal Investigator, with support from Co-Investigator(s) and/or research assistant(s) and other technical or support staff as appropriate.
- The Principle Investigator and Co-Investigator (s) must hold, or have held a Beyond Text Award (note PhD students can not apply but Beyond Text Collaborative Research Studentship supervisors can if they meet all other eligibility criteria)
- Applicants can only be Principle or Co Investigator on **one** proposal. Multiple submissions will not be accepted.
- The Principal Investigator and Co-Investigator(s) must meet the eligibility criteria detailed in *Section Three of the AHRC Research Funding Guide* and research assistants should be of post-doctoral standing. This does not mean that they must have a doctorate, provided that they can demonstrate equivalent research experience and/or training. The AHRC does not have criteria relating to other members of the support team.

- The Principal Investigator and any supporting staff may work full-time or part-time on the programme of activities. The Principal Investigator (and as appropriate any supporting academic team) will need to demonstrate that s/he is making an appropriate time commitment to enable the aims of the programme to be realised effectively and efficiently. There is no minimum time commitment for Principal Investigators and any Co-Investigator(s).
- The size of any supporting academic team should be appropriate and necessary to the specific needs of the project. Members of the supporting team (but not Principal Investigators or Co-Investigator(s)) may be recruited specifically.
- The maximum length of an award is 12 months. It will be important to demonstrate that the proposed activities are feasible and realistic in relation to the proposed timetable.
- If appropriate, the project may be delivered in collaboration with one or more non-academic partner organisations. Both UK and International organisations are eligible and must be existing organisations, although there is no minimum period stipulated for which they must have been operating.
- UK-based organisations may include:
 - commercial businesses
 - not-for-profits
 - charitable bodies
 - public sector bodies
 - community or voluntary groups
- International organisations may include:
 - organisations such as the United Nations, European Commission
 - not-for-profits
 - charitable bodies
 - public sector bodies
 - community or voluntary groups
 - (note: commercial businesses based overseas are **NOT** eligible)
- Universities, colleges, further education institutions, related departments or spin-out companies may not participate as non-academic partners. University museums and galleries, however, may participate as project partners providing that they are working with a Research Organisation other than or in addition to the Research Organisation with which they are formally linked.
- Where appropriate, non-academic partners are required to commit to a financial or in-kind contribution (this will not constitute part of the fEC of the project). There is no minimum contribution; however, value for money will be considered in the assessment of proposals.
- Non-academic partners should submit a Letter of Support as an attachment to the application and this should detail the reasons, motivations and commitment to participating in the project. If there is more than one non-academic partner then each should provide a Letter of Support. If appropriate, the Letter of Support also

provides an opportunity for non-academic partners to state their financial and/or in-kind contributions to the project.

- The proposal needs to demonstrate how it will add significant value to activities included within the original research application to the AHRC relating to the development of pathways to impact. The scheme cannot support activities included within the original AHRC application, or outcomes or activities which would be likely to occur without the additional funding requested.

Costs

Eligible costs are detailed in Section Two of the AHRC Research Funding Guide (with the exception that project studentships are not a permissible cost). All applications should be costed on the basis of the full economic costs (fEC) of the proposed programme of activity. If the application is successful, the AHRC will contribute 80% of these costs.

The scheme offers Follow-on Funding for awards of up to £30,000 (fEC) for a maximum of 12 months.

Applicants are required to submit a Justification for Resources justifying the costs applied for. The AHRC does not expect to support costs which would usually be incurred by project partners or which form part of their core business (for instance, the cost of staging a theatrical production by a theatre production company).

Application guidance

All proposals must be **completed and submitted via the Research Councils' Joint Electronic Submission System**, which can be accessed at www.je-s.rcuk.ac.uk.

The following attachments should be appended to your application:

- Case for Support
- Curriculum vitae
- Publication lists
- Justification of resources
- Letters of Support (one per project partner, if relevant)
- Visual evidence (optional)

Please refer to Section Four of the AHRC Research Funding Guide for guidance on completing and submitting your application and attachments. Scheme-specific guidance on preparing the Case for Support is given below.

Case for Support guidance

Your proposal must be accompanied by a Case for Support attachment. Your Case for Support should be in Arial font no smaller than size 11. The word limit for the case for support is **2000 words** and you must also provide a word count, which should be clearly indicated at the end of the document. Scheme-specific guidance on what should be

included in the Case for Support is contained in Section One of this document. If the AHRC requires you to make amendments to your proposal after its submission, the proposal will be made available to your Research Organisation in Je-S for editing, and you will be informed of the requested changes by e-mail. Your Research Organisation can either make the amendments or return the proposal to you to make the requested amendments. You will be allowed three working days in which to update your proposal and resubmit to AHRC. Please note that any unsolicited amendments will result in your proposal being made ineligible, so it is important that you restrict changes to those that have been requested. Failure to make the requested changes by the specified due date may result in your proposal being ineligible for further consideration. While you should aim to make the Case for Support as concise, specific and clear as possible, the work to be undertaken should nonetheless be fully explained, as failure to provide adequate detail on any aspects may seriously prejudice your application. In short, you are advised to focus your application and to provide sufficient evidence to enable members of the Peer Review College and panellists to reach a considered judgement as to the quality of your proposal, its significance, its feasibility and value for money. You should describe your proposed project/programme of research using the required headings for your scheme (see table below). The guidance that follows the table details what information should be included under each heading.

Context

You should describe the research context for your proposed activities, identifying the existing piece or body of research the proposed activities are based on.

You should provide evidence in support of your proposal that the completed research is of relevance to the wider audience(s)/organisation(s) that you intend to work with. Ability to demonstrate this awareness is very important.

Where your proposal is for an emergent activity within the current lifespan of a grant, you should explain how this opportunity has arisen, **why it wasn't foreseeable at the application** stage, the timeliness of the activity and how it will enhance the impact of the research.

Aims and objectives

You should describe the aims and objectives of your proposal and explain what specific targets will have been achieved at milestones and by the end of the award.

You should explain how your proposed activities demonstrate creativity and novelty.

Fit to Beyond Text Themes

You should explain how the proposed activities will benefit the Beyond Text Programme, and you need to specifically address which of the 3 themes for this call your proposal will address.

Outcomes and impact

Describe how this project meets the Follow-on Funding scheme aims. You need to be clear about who will benefit from the proposed activities and describe how you intend to capture information about these anticipated benefits. How will you demonstrate success in meeting the specified aims and objectives?

Where appropriate, you should also consider the potential longer-term sustainability of any pathways to impact developed during the period of the proposed award. What do you envision will happen after the end of the funding period? For example, an important part of the role played by project partners or collaborators could be to help to take forward and develop outcomes in the longer term.

Collaboration

Please detail the partner organisation(s)/audience(s) that you have worked/will work with, their role in the project and how you will work together to develop and deliver the outcomes.

If you have an existing working relationship with the partner(s) briefly describe the nature of that relationship. How will this award enhance that relationship? If you are seeking to establish a working relationship with a new partner then please describe the steps you will take or have taken to make that happen.

Management

At the outset you, your host HEI and the partner organisation(s)/audience(s) must have a shared understanding of your respective roles and responsibilities within this project. You should describe the anticipated roles and responsibilities of each of these parties within this proposal and the process by which this shared understanding has been reached.

Within this section make sure you have described how the programme of work is to be managed. What will be the roles of the members of staff involved (including you, any Co-Investigator(s), and any research assistants)? If a postdoctoral research assistant is to be employed, you should state clearly the nature of the work they will be undertaking and describe clearly the working relationships that are envisaged between all the members of the team. You should describe fully the arrangements for supervising and managing the research assistant. You should also provide a curriculum vitae of the proposed researcher if one is named; otherwise you should state the skills and qualifications sought. Similarly, if the project involves input from a member of staff from another institution, you must state clearly what work they will pursue and describe the working relationships envisaged with other members of the team. Any research assistant employed on the project must have a PhD or be of post-doctoral standing.

The assessors will want to know that you and your partner(s) have considered any pertinent issues of ownership/intellectual property arising from the project. Please detail the outcome of these discussions.

Proposed activities

Please provide a clear and concise description of the activities to be undertaken. The proposed work should be fully explained and a justification provided for the chosen approach/methods. If you are seeking travel, subsistence or event costs then you should describe their purpose and why they are relevant to the programme of work. If you are proposing a feasibility study or shorter, higher risk activity you should explain how risks will be managed.

Timetable

Describe the timetable for the project, including appropriate milestones. Is the timetable realistic? When will the outcomes/outputs of the project be completed?

Deadlines

There is a fixed deadline for the receipt of proposals through Je-S for this scheme of **4pm** on **Tuesday 30 November 2010**. The assessment process is expected to take 8 weeks and the start date for all projects must be **14 February 2011**.

Assessment

Proposals will be assessed against the following general criteria:

- Quality and timeliness
- People
- Management of the project
- Value for money

These criteria are described in greater detail in *Section Five* of the [AHRC Research Funding Guide](#).

In addition to the general assessment criteria, the following criteria will be taken into account for the Follow-on Funding Scheme:

- social, cultural, economic and/or policy impact potential of the research on which the project is based
- potential of the proposed activities to enhance the value and impact of the research
- extent to which the project responds to a well-defined audience need
- timeliness of the proposal
- longer-term sustainability of activities, pathways or potential impacts beyond the award period (where appropriate)

- level of engagement with existing and potential audiences/users and the extent to which their needs have informed the development of the proposal
- creativity and novelty of the proposed activity and outcomes

Applications will proceed straight to a funding panel for decision. This panel will consist of AHRC representatives, Beyond Text Programme Director and a member of the Beyond Text Commissioning Panel if possible.

Proposals will be awarded one of the following grades:

Successful: A proposal to be funded. If the award offered is different to the amount requested, feedback will be provided.

Successful (Conditional): A proposal that could be funded, if specific conditions are met. The applicant will be asked to respond to the conditions identified in the outcome letter. If the information provided is considered satisfactory, the award will be confirmed. If it is not considered satisfactory, the award offer will be withdrawn. Feedback will be provided.

Unsuccessful: An application which cannot be funded, either due to being of insufficient quality or not ranked high enough to merit funding compared to other proposals. Feedback will be provided. The proposal cannot be resubmitted at a later date.

Contacts and resources

For questions about scheme criteria or types of activity for support under this scheme please email CreativeandPerformingArts@ahrc.ac.uk

Useful resources:

RCUK Pathways to Impact

<http://impacts.rcuk.ac.uk/default.htm>

AHRC Knowledge Transfer Strategy

<http://www.ahrc.ac.uk/About/Policy/Documents/KT%20Strategy.pdf>

Examples of impact from AHRC-funded research

<http://www.ahrc.ac.uk/FundedResearch/impact/Pages/default.aspx>

AHRC guidance on working with the media

<http://www.ahrc.ac.uk/News/Documents/mediaguide.pdf>

Annex A – Themes for Beyond Text Follow on Call

The three themes for the Beyond Text follow-on funding call are as follows with some purely indicative suggestions for areas and activities where proposals would be welcome:

1. Archiving the Ephemeral

Beyond Text projects have identified the challenge of locating, preserving and interpreting the transient moments of live performances that take place in everyday or special settings. They all pose important problems of how we can access these moments from our past and how we preserve them for our future. Activities for follow-on funding might include:

- Articulating the practical and theoretical issues involved in capturing and preserving the ephemeral moments of special performances and everyday activities, both in the past and in the present.
- Translating successful archiving practices from one area to another.
- Developing mechanisms for public engagement that allow for public participation in the collecting and preservation of ephemeral materials.
- Supporting policy development in this area.

2. Learning across and between the generations

Beyond Text projects have shown how knowledge and skills are passed not only between the generations through formal means (such as schooling) but also through informal absorption through daily observation and imitation. Activities for follow-on funding might include:

- Transforming the research findings into educational policy.
- Developing the mechanisms for translating small pilot projects into broader national and international strategies.
- Developing packages (educational materials, software, etc) to support educators, health professionals and other groups involved with learning across and between the generations.
- Making findings about inter-generational behaviour relevant to a wider audience.

3. Heritage and Values

Beyond Text projects have shown that creating an understanding of the heritage and values of a place or community can be helpful in generating a sense of responsibility for future generations. Projects have worked extensively with international, national and local organisations to explore how heritage can (and cannot) create a sense of identity, belonging and social cohesion. We have also shown how it can be divisive, alienating and challenging. New technologies are potentially very valuable in bridging the divide but are being adopted in very different ways for very different purposes. Activities for follow-on funding might include:

- Transforming the research findings into policies and procedures that can be adapted by museums, galleries, libraries and heritage sites
- Developing new ways of displaying research findings in a digital context
- Creating mechanisms for disseminating the research findings to community groups
- Developing mechanisms for translating pilot projects into broader national and international strategies and policies.

Annex B - Terms and Conditions of AHRC Beyond Text Follow On Funding Awards

The following are additional terms and conditions applicable to AHRC Follow-on Funding awards and as such reflect the particular nature of the scheme. They should be read in conjunction with the common Terms and Conditions of Research Council Grants which follow below.

The AHRC holds a contractual relationship with the HEI, and the responsibilities of the HEI are detailed in the common Terms and Conditions of Research Council Grants. Awards are made to the HEI rather than the successful applicant as an individual.

By submitting a letter of support the non-academic partner/s also commit to the identified project. This commits the non-academic partner/s to:

- Committing all reasonable resources as outlined in the application to ensure the successful completion of the project;
- Making payments if agreed with the HEI to the HEI;
- Any other commitments relating to the non-academic partner as specified in the application.

Terminology

References to research projects and activities apply in this scheme to the programme of knowledge transfer, public engagement, dissemination or commercialisation activities.

GC4 in addition to Starting Procedures

Starting Certificates confirming that the project has started will be expected to be returned to AHRC within 14 days of the start date. **All awards are expected to start on 14 February 2011.** Any requests to delay the start date of an award will be considered in exceptional circumstances only. In such cases this must be requested (by email or letter) and a clear justification must be provided in order for the request to be considered.

GC 5 Changes in Research Project (technical aspects)

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC5 Changes in Research Project), it is the Principal Investigator's responsibility to ensure that any output in electronic form is prepared in accordance with best practice.

GC 19 to replace Sanctions

If the 'final' report or the final expenditure statement is not received within three months of the end date of the award, the AHRC may:

- Bar the investigator from making any further applications to any of the AHRC award schemes until the report is received.
- Seek to recover the grant in full.
- Keep a record of the failure to submit on time and take this into consideration when the investigator makes further applications to the AHRC.

GC 23 Publication and Acknowledgement of Support

In addition to the conditions outlined in Terms and Conditions of Research Council Grants (RG23 Publication and Acknowledgement of Support), one copy of any publication or public output (CD-ROM, video etc) should be sent to the AHRC. Where the research programme results in a non-permanent output, such as an installation or performance, photographs, recordings and reviews may constitute an acceptable record of the output.

Annex C - Terms and Conditions of AHRC Awards

Below are the common terms and conditions for grants made by the Research Councils. These should be read in conjunction with the relevant scheme-specific annex (Annex B).

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.

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 www.researchconcordat.ac.uk. The Research Organisation must create an environment in which research staff are selected and treated on the basis of their merits, abilities and potential. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation. It must ensure compliance with all relevant legislation and Government regulation, including any subsequent amendments introduced while work is in progress.
- 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 that meet the requirements of the Research Councils' guidance on good practice. The Research Organisation must ensure that there are reliable systems and processes in place for the prevention of research misconduct e.g. plagiarism, falsification of data, together with well-defined and clearly-publicised arrangements for investigating and resolving allegations of misconduct. Where an allegation of misconduct arises in respect of a researcher supported by a research grant, the Research Council must be informed immediately and notified of the outcome of any investigation.

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.

Grant funds cannot be used to meet the costs of any item where the activity falls outside the period of the grant, e.g. when travel falls outside the grant period, 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 start date shown on the starting certificate will be regarded as the start date of the grant. Submission of the starting certificate will also constitute acceptance of the grant, if

no other acceptance procedure exists. The start of research may be delayed by up to 6 months (AHRC and ESRC 3 months) from the start date shown in the award letter, the duration of the grant remaining unchanged. The grant may lapse if it is not started within this period. Submission of the starting certificate is required not more than 14 days after the start date.

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 starting certificate. 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 award 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:

- a post that attracts these costs is not filled;
- 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. 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 Disability Discrimination Act 1995 (as amended)), or other exceptional circumstances with the agreement of the Research Council).

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

A written request for an extension should be made as soon as the requirement is identified and subject to prior written approval confirmed when the period required is known. 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 and Adoption Pay and Leave

Grant funds may be used for maternity, paternity and adoption pay 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 staff fulfill the qualifying conditions of the Research Organisation.

Maternity, paternity and adoption pay is not payable by the Research Council for staff acting as Principal and Co-Investigators (unless they are also Research Fellows or Research Assistants funded by the grant), nor to other staff not dedicated to the project nor paid from Directly Incurred or Exceptions funds.

The Research Organisation will be compensated at the end of the grant to cover the additional costs of either a substitute appointment or an extension of the grant from maternity, paternity or adoption leave. The salary of any substitute appointment must not exceed that of the individual on leave. 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 provide paid maternity, paternity 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 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

Grant funds may be used for 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.

Sick pay is not payable by the Research Council for staff acting as Principal and Co-Investigators (unless they are also Research Fellows or Research Assistants funded by the

grant), nor to other staff not dedicated to the project nor paid from Directly Incurred or Exceptions funds.

The Research Organisation will be compensated at the end of the grant for any additional costs or time resulting from sick leave, falling within the original period of 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 Research Council 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.

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 a starting certificate, 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 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.

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, 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. These will usually be where assurance cannot be obtained on the regularity of grant expenditure. Further details on the assurance requirements of the Research Councils can be found at www.rcuk.ac.uk/assurance .

If the final report or the 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 outcomes obtained in the course of the research, whether patentable or not, are used to the advantage of society and the economy. Research outcomes should be disseminated to both research and more widespread audiences - for example to inform potential users and beneficiaries of the research.

Unless stated otherwise, the ownership of intellectual property, and responsibility for its exploitation, rests with the organisation that generates it.

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 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.

Where the exploitation of research generates revenue, there should be suitable recognition and return to the Research Organisation and individuals. 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.

ADDITIONAL INFORMATION TO ACCOMPANY TERMS & CONDITIONS

Following discussions between the Research Information Network, Research Councils, other funders and journal publishers, a standard format has been agreed for acknowledging funders in journal articles. This is to enable improved tracking of the publications generated by funded research projects.

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

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

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

This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number zzzz]; and the Economic and Social Research Council [grant number aaaa].