



Arts & Humanities  
Research Council

## **Collaborative Research Training Scheme (National and Specialist awards)**

### **Terms and Conditions of Award**

You and your HEI will be required to comply with the terms and conditions of award set out here. You should note that awards are made to the institution that countersigns your application, and not to you as an individual. The AHRC differentiates between your responsibility as the successful applicant, and the responsibility of the institution to which it makes an award. Both parties should therefore read this document carefully and note that in submitting a proposal you are agreeing to abide by the AHRC's terms and conditions of award.

The AHRC reserves the right:

- To revise or amend at any time the conditions of the award.
- To suspend or terminate an award at any time or to seek reimbursement where the terms and conditions are not met.

In reserving these rights the AHRC will, where possible, seek to ensure that in the event of changes or termination, reasonable notice is given to the institution and award-holder.

#### **1. Responsibility of the successful applicant**

It is your responsibility to conduct the programme of doctoral research training as set out in your application form. The AHRC accepts that in the course of the programme there may be some amendments to the original specification of how the work was to be conducted. However, it is your responsibility to try to ensure that the original programme that you described in your application is successfully carried out.

#### **2. Responsibility of the institution**

The host institution is responsible for:

- Ensuring that the award is used for the purposes outlined in the application.
- Facilitating the development and delivery of the research training provision, including providing any necessary facilities which do not form part of the AHRC's contribution.
- Consulting the AHRC, at the earliest possible date, if difficulties occur which threaten the viability of the programme.
- Administering the award, including any necessary co-ordination between the collaborating institutions.
- Maintaining accountability for proper use of public funds.
- Ensuring that any funds unused at the end of the award period are returned to the AHRC.
- Ensuring that clear plans are in place to enable the training provision to continue after the period of AHRC funding ends.

- Ensuring that all relevant doctoral research students, and their supervisors, are made aware of the training to be provided, and encouraged to benefit from it.
- Ensuring that priority is given to AHRC-funded doctoral students in benefiting from the training provided.
- Ensuring appropriate mechanisms are in place in all the collaborating institutions for evaluating and ensuring the high quality of the training developed and delivered.

### **3. Starting Procedures**

If you are successful, you will receive a letter offering you an award, and informing you of the overall cash limit for the duration of your award. You will also receive a copy of the Terms and Conditions of awards and a Starting Certificate, which must be signed and returned before the award can be paid.

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. Submission of the starting certificate is required not more than 42 days after the start date. The grant may lapse if it is not started within this period.

### **4. Financial Responsibilities**

Awards are cash-limited. The AHRC will provide notification of the total amount of award over the full period when the award is announced. There is no scope for supplementation of the award.

The AHRC will make all payments directly to the institution identified as the lead institution on the application form, and each award to an institution will be individually identified.

These awards provide support for collaborative research training proposals that are accepted (on occasion with some modifications) by the AHRC. Any funds not required to meet specified objectives must be refunded to the AHRC.

The AHRC accepts no responsibility, financial or otherwise, for

- Expenditure or liabilities arising out of the programme it funds, other than that specifically covered by the conditions of the award and which have been incurred during the period it covers.
- Any commitment incurred before an award is formally announced.
- Retrospective payments for work already done before the approved starting date of an award.
- Any expenditure in excess of the approved award.
- Any redundancy, severance or compensation payments, for which the institution may become liable as an employer, unless expressly agreed in writing by the chief executive of the AHRC and no other person.

### **5. Accounting**

The AHRC reserves the right to have reasonable access to inspect the records and financial procedures associated with training award or to appoint any other body or individual for the purpose of such inspection.

The host institution must, if required by the AHRC, provide a statement of account for the award, 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 award terms and conditions.

A Final Expenditure Statement will be issued to the host institution at the end of the award, and must be returned within three months.

Research Councils will undertake periodic reviews of institutions within the Dipstick Testing programme to seek assurance that training grants are managed in accordance with the terms and conditions under which they are awarded.

## **6. Changes to awards**

The start date of your research training programme is expected to be in October 2010 or soon thereafter, in order that students registered for the 2010–11 academic year can benefit from the provision. Should you or your HEI wish to modify that date once you have been notified of an award, you must contact us **immediately** for approval. The AHRC is likely to approve a delay of one or two months, but longer delays will be approved only in very exceptional circumstances. If approval is not given, and you still cannot keep to the original start date, then either the award will be withdrawn or you will be offered the option of having your application reconsidered in a subsequent round of the competition. You should note that if you choose this latter option then your application will once again be in open competition with others and there can be no guarantee of its success.

Your offer letter will include an end of award date which will normally be three months after the programme has ended. This is the date that your End of Award report must be returned to the AHRC.

You may encounter circumstances that require you to make significant modifications to your proposed programme and its aims and objectives. In such cases you must first discuss the changes with your host institution and then obtain the prior approval of the AHRC before undertaking any modifications. If you fail to alert the AHRC to such circumstances or to seek approval for any changes to your proposed programme, this will be taken into account in the assessment of your end-of-award report.

## **7. Virements**

While awards are cash-limited, the AHRC allows virement (i.e. flexibility to transfer items from one area of expenditure to another) between most budget heads without its prior approval. In such cases, you must use these funds effectively and economically and ensure that they are used only for admissible items, and that the prime objectives of the programme are not put at risk.

Requests to vire funds in excess of £150.00 must be made in writing to the AHRC including full justification for the changes before the virement can be approved. The AHRC reserves the right to seek full justification for any virements.

## **8. Extensions**

Extensions to the duration of an award without additional funding will normally be limited to three months, although extensions beyond three months may be negotiated in *exceptional circumstances*. Extensions must have the prior agreement of the AHRC and will not be awarded automatically or retrospectively. Requests must be made well in advance – at least three months before the end date – and should be made in writing, with reasons provided as to why the extension is considered necessary.

Extensions to the duration of an award arising from maternity leave, paternity leave or long-term sick leave (beyond three months) will normally be granted in order to safeguard the programme of work. The AHRC should be advised in writing as soon as it is known that such circumstances will arise during the course of the award.

## **9. Transfer of awards**

If it is necessary to transfer the award to another institution before the award finishes (for example because the lead applicant moves institutions), the AHRC normally transfers

the balance of the award, subject to the agreement of the institutions concerned.

In such circumstances you must seek approval from the AHRC as early as possible, supplying written agreements from the institutions involved. Responsibility for ensuring the continuance of the programme for which the award was made remains with the original institution until such time as the transfer has been agreed by all parties concerned and until the date of transfer. The AHRC considers the original award-holding institution responsible for leading these negotiations and will not itself act as an arbitrator. The AHRC reserves the right to reclaim funds from the original award-holding institution if it has not met this condition of the award.

## **10. Ethics policy**

The institution has an absolute responsibility to ensure that ethical issues relating to the training programme are identified and brought to the attention of the relevant approval or regulatory body, and that approval to undertake the research is granted before any work begins. Ethical issues should be interpreted broadly and may encompass, among other things, the involvement of human participants in research, the use of animals, research that may result in damage to the natural environment and the use of sensitive economic or social data. The institution must also ensure that research and training is free from conflicts of interest by those involved in the work.

## **11. Monitoring requirements**

You must submit an end-of-award report by the end of award date stated in your offer letter. Forms will be sent to you one month before the end of the first year of the award. The preparation and submission of this report is your responsibility. Further applications to the AHRC for any funding scheme will not be accepted from an award-holder whose end-of-award report has not been submitted by the required deadline.

The report will include a self-assessment of the extent to which the original aims and objectives of the training programme have been met; details of any outputs that have resulted from the programme; and a breakdown of expenditure. Where there are any unused funds arising from the award, these should be identified in the report and the AHRC will reclaim the outstanding balance.

It is also a condition that you authorise the AHRC to disseminate information in the end-of-award report by copying, microfilm, microfiche, electronic or other means. You should note that this procedure constitutes a form of publication.

Reports will be assessed and graded using the following classifications. The results of the assessment may be taken into account in considering any subsequent applications you or your co-applicants may make to the AHRC:

- a. *satisfactory* – indicates a programme of training that has met its key aims and objectives, and whose approach, activities and achievements are commensurate with these terms and conditions and the aims and objectives of the scheme
- b. *unsatisfactory* – indicates a programme of training that either has failed to meet its key aims and objectives, and whose approach, activities and achievements are not commensurate with the terms and conditions, or has failed to develop and deliver a programme of research training as agreed at the time of the award (and any subsequent agreed changes), and which therefore does not meet the terms and conditions of award, and does not meet the aims and objectives of the scheme.

The AHRC's Monitoring Policy seeks to safeguard the use of public monies and ensure that the AHRC's administration of awards is conducted with the utmost probity. In accordance with this policy, the AHRC will take action if award-holders fail to comply with the monitoring requirements, and also if reports are assessed as unsatisfactory (see below). The most severe breaches of AHRC monitoring requirements will result in award-holders being debarred from making further applications to any future AHRC research training scheme for two years, and under certain circumstances full or partial recovery of

the grant will be sought.

If you fail to submit the end-of-award report, we will:

- send a follow-up letter requesting the outstanding report, giving a further month for submission
- if the report has still not been received within a month, bar you from making any further applications to any AHRC funding scheme until the report is received
- if appropriate, seek to recover the grant either in part or in full
- keep a record of the failure to submit on time and take this into consideration when you (and any co-applicants) make further applications to the AHRC.

If your end-of-award report is assessed as **unsatisfactory**, we will:

- write to you, and to your host institution, to inform you of the status of the report. If you consider that there are exceptional reasons why the grading should be reconsidered, you will have the opportunity to put your case in writing to the Associate Directors of Programmes
- debar you from making applications to the AHRC research training scheme for two years, unless it is determined that there are exceptional reasons for revoking the penalty. We will write to you, and to the head of your institution, confirming the penalty
- if the unsatisfactory grading is due to a breach in financial regulations, seek full or partial recovery of the grant
- keep a record of the unsatisfactory assessment on file, which will be taken into consideration when you (and any co-applicants) make further applications to the AHRC.

## **12. Other requirements**

You must provide, on request, a description of your programme that may be included in any of the AHRC's publications.

Information on collaborative research training programmes, including monitoring reports, will be held on computer and may be disseminated by the AHRC by any means. For example, brief details of your award (including your name, institution, the project title and summary and the amount awarded) will be published on the AHRC website.

## **13. Presentation of publication, or other output**

Due acknowledgement of support received from the AHRC should be made in any publication – printed or electronic – or any other public output, including exhibitions or performances, resulting from this programme. **The AHRC reserves the right to reclaim the cost of the award if this condition is not met.** In the case of outputs that involve collaboration with other organisations, such as exhibitions where the publicity is provided by the gallery itself, you should ensure that all parties are aware of the need to incorporate an acknowledgement of AHRC support in all publicity material.

If you wish to use the AHRC's logo, you should contact the AHRC's office for guidance on how to obtain an electronic copy.

## **14. Commercial issues and development**

The AHRC acknowledges that there are no ideal arrangements for technology transfer and commercial development and that individual arrangements will differ. It will not impose or prescribe rules that must be rigidly followed. However, in line with the policy of the Research Councils, it does expect that satisfactory support for exploitation

opportunities should be provided to try to ensure that potentially valuable results or products arising from AHRC-funded programmes are, where practicable, developed. Much of the initiative for identification, assessment and protection of commercial development opportunities must come from the principal applicant, supported by their HEI. The AHRC expects HEIs to ensure that opportunities for commercial development are not missed and to have in place the necessary machinery to achieve this. Any significant electronic resource or datasets created as part of the project must be made available in an accessible depository for at least three years after the end of the award.

### **15. Intellectual property**

The ownership of any intellectual property arising from a training programme should be clear from the outset. The AHRC will assume that this will rest with the institution receiving the award, unless stated to the contrary.