



Head of Department  
Research Finance Manager  
University of Aberdeen  
King's College  
Aberdeen United Kingdom  
AB24 3FX

Grant Ref: NE/S007377/1

Date: 17 May 2019

Dear Head of Department

**GRANT OFFER: Training Grant, Doctoral Training (R)**

**GRANT TITLE: Queens University Belfast and University of Aberdeen Doctoral Research and Training (QUADRAT)**

The NERC is offering a grant towards the cost of the above project, subject to the terms and conditions set out below.

Return of the 'Offer Acceptance' will be taken as acceptance of the grant on the terms stated. If you are unable to accept the grant you should return a 'Decline' confirmation as soon as possible. Upon receipt of the 'Offer Acceptance' a 'Start Confirmation' request will be issued.

Grants are cash limited and expenditure against the grant must not exceed the value awarded apart for reasons stated in the standard terms and conditions.

Please note copies of this letter have not been sent to the grant holder and co-investigators (as appropriate); it is your responsibility to distribute copies as is necessary.

Yours faithfully

Grants Pre Award Team  
*RCUK Grants*  
A service provided on behalf of NERC

**Organisation:** University of Aberdeen

**Grant Holder:** Professor [REDACTED] Paton

**Grant Title:** Queens University Belfast and University of Aberdeen Doctoral Research and Training (QUADRAT)

**Starts:** 1 September 2019

**Ends:** 31 August 2027

**Duration:** 96

## GRANT VALUE

### Funds Awarded

|                      | RC Contribution (£) |            |            |
|----------------------|---------------------|------------|------------|
|                      | net                 | Indexation | Total      |
| [REDACTED]           | [REDACTED]          | 0          | [REDACTED] |
| [REDACTED]           | [REDACTED]          | 0          | [REDACTED] |
| [REDACTED]           | [REDACTED]          | 0          | [REDACTED] |
| Total Value of Award | 1,124,308           | 0          | 1,124,308  |

**Cost of Access to Facilities** 0  
(Funds not awarded to Grant Holding Organisation)

## STAFF

### Staff Summary

|  | RC Contribution net | Number Of Months |
|--|---------------------|------------------|
|--|---------------------|------------------|

### Staff Details

| Start Date | End Date | Duration | FTE Percent | Name or Post Identifier | Authorised Cost (Excluding Indexation) |
|------------|----------|----------|-------------|-------------------------|--|
|------------|----------|----------|-------------|-------------------------|--|

## FACILITY AND SERVICE DETAILS

| Facility | Cost of Access | Number of Units |
|----------|----------------|-----------------|
|----------|----------------|-----------------|

## PROJECT PARTNERS

| Organisation | Department | Last Name | First Name | In Kind Value (£) | Monetary Value (£) |
|--------------|------------|-----------|------------|-------------------|--------------------|
|--------------|------------|-----------|------------|-------------------|--------------------|

## GRANT ADDITIONAL INFORMATION

Due to the Final Holding amount, we have added an additional [REDACTED] to the final payment in Q2, 2027. This is so that the University will receive the normal funding at the end of Cohort 1.

When we upload the finances for Cohort 5, we need to remove this amount from the final payment.

## GRANT CONDITIONS

All NERC Training Grant (TG) awards must adhere to the UKRI Research Council training grants terms and conditions and the Statement of Expectations for Postgraduate Training. NERC reserves the right to alter these terms and conditions over the lifetime of the DTP programme. All DTP award holders will be notified of changes when they occur.

### Contents

|  |   |
|--|---|
| Significant alterations between DTP1 and DTP2 .....  | 2 |
| General.....   | 2 |
| The award .....                                      | 2 |
| Fund management .....                                | 3 |
| Widening participation .....                         | 3 |
| Training remit .....                                 | 3 |
| Training requirements .....                          | 3 |
| Governance structures .....                          | 4 |
| Reporting and monitoring .....                       | 4 |
| Strategic engagement .....                           | 4 |
| CASE and Collaborative (non-CASE) studentships ..... | 5 |
| Advanced Training .....                              | 5 |
| Research Experience Placements (REPs) .....          | 5 |
| Naming and branding .....                            | 5 |
| Forms, FAQs & guidance .....                         | 6 |
| Contact.....   | 6 |

### Significant alterations between DTP1 and DTP2

#### Paragraph Change

2. The allocation of studentships that each DTP will receive will be confirmed on an annual basis. The DTPs will be contacted prior to the summer recess of the previous academic year (For example; the DTPs will be contacted regarding the 2020/21 academic year allocation prior to the 2019 summer recess).

7. NERC reserves the right to alter the number of notional studentships of an award. DTPs will be contacted in advance of any significant changes to the DTP award.

14. The Administrative Lead Partner must ensure that students requiring London weighting are reported to NERC within 1 month of the student starting their studentship.

17. Up to 10% of studentship awards are eligible for international candidates over the lifetime of the award.

21. Costs required for student participation in the Research Council Policy Internships scheme and YES Competitions (Young Entrepreneurs Scheme) must come from the DTP Grant and will not be reimbursed by NERC.

25. The DTP will adhere to the annual universal acceptance deadline for PhD studentship offers.

34. Organisations eligible for Research Council research funding are not eligible to act as a CASE partner.

35. The DTP must ensure that over the lifetime of the award, a minimum of 25% of the total notional studentships awarded to the DTP are CASE studentships.

44. NERC DTP2 grants must include NERC branding on all relevant materials and websites. The branding should be clearly displayed and must abide to the NERC Logo and identity guidelines found on the NERC website.

### General

## The award

1. The DTP award will provide support for five annual cohort intakes between 2019-2023
2. The allocation of studentships that each DTP will receive will be confirmed on an annual basis. The DTPs will be contacted prior to the summer recess of the previous academic year (For example; the DTPs will be contacted regarding the 2020/21 academic year allocation prior to the 2019 summer recess).
3. All DTP students must be funded at the minimum UKRI stipend level, for at least three years and up to a maximum of four years. Awards will be supplemented with London Allowance where necessary according to the UKRI guidance.
4. NERC expects each DTP to support the notional number of students awarded to them as the minimum number within each annual student cohort.
5. The exact cost of each notional studentship award will be calculated once the Research Council Doctoral stipend levels and indicative fees have been announced. Indicative funding per notional studentship for 2019/20 is shown below:



The table is redacted with black boxes. It appears to have 2 columns and 4 rows of data.

6. The figures under Stipend and Fees will be indexed to accommodate rises in the UKRI indicative stipend and fees levels over the lifetime of the studentship.
7. NERC reserves the right to alter the number of notional studentships of an award. DTPs will be contacted in advance of any significant changes to the DTP award.

## Fund management

8. The Administrative Lead Partner will receive the funding for the DTP from NERC and is responsible for ensuring the agreed funds are transferred to the partners as appropriate.
9. The Administrative Lead Partner must confirm acceptance of the award. The acceptance notification will be taken as acceptance of the grant under the Terms and Conditions of the UKRI Terms and Conditions of training grants and associated guidance as well as the NERC Specific DTP Terms and Conditions contained within this document.
10. The DTP will have flexibility in how to use the training grant to support DTP students as long as the minimum number of notional students is supported.
11. Costs associated with the administration of training and delivery of a NERC DTP may be incorporated into the fee level that the Research Organisation charges to the Training Grant.
12. Research Organisations must ensure that adequate facilities and resources are made available and students must not be expected to cover costs associated with the provision of their research training.
13. The DTP must be clear with the student, at the outset of the studentship, regarding the total amount of RTSG available to them throughout the duration of the studentship. The student must have clear access to the funds throughout their studentship.
14. The Administrative lead Partner must ensure that students requiring London weighting are reported to NERC within 1 month of the student starting their studentship.

## Widening participation

15. Opportunities for NERC funded studentships must be publicised both within and beyond the hosting Research Organisations.
16. It is the responsibility of the DTP to put in place appropriate support for all students to manage health and wellbeing.
17. Up to 10% of studentship awards are eligible for international candidates over the lifetime of the award.

## Training remit

18. The DTP studentships must be within at least 50% NERC remit, and relevant to the NERC strategy.

## Training requirements

19. The DTP will deliver on the training requirements as outlined in the DTP2 Guidance document.
20. Costs associated with DTP2 training requirements must be delivered using funds available from the Training Grant (TG) plus any additional funding obtained by the DTP. No additional funds will be provided by NERC.
21. Costs required for student participation in the Research Council Policy Internships scheme and YES Competitions (Young Entrepreneurs Scheme) must come from the DTP Grant and will not be reimbursed by NERC.

## Governance structures

22. The DTP must have one organisation acting as the Administrative Lead Partner. The DTP must have both a lead operational manager and steering committee/management board. The steering committee/management board should be comprised of all hosting DTP partners and must also have representation from relevant end-user organisations.

23. NERC should be notified in advance of significant management board meetings and NERC reserves the right to attend these meetings as part of its on-going monitoring and strategic engagement activities.

24. Students can start at the DTP at any point in the academic year as long as it is not to the detriment of their training experience at both an individual and cohort level.

25. The DTP will adhere to the annual universal acceptance deadline for PhD studentship offers.

## Reporting and monitoring requirements

26. DTP award holders must deliver on the DTP as outlined in the application. NERC should be notified of any major changes to DTP governance or programme structure by submission of a Significant Change Form electronically to [researchcareers@nerc.ukri.org](mailto:researchcareers@nerc.ukri.org).

27. The Administrative Lead Partner of the DTP must submit an annual report to NERC on behalf of the partnership. The annual report will not replace the Research Councils' requirement for reporting through the Je-S SDP or the need to complete the annual Je-S Submission Survey.

28. The DTP will be required to host formal and informal visits from the NERC Executive. Partnerships will be provided with information ahead of these visits in a timely manner by NERC.

29. NERC will undertake an evaluation of all DTPs. DTPs are required to comply with any evaluation exercise and provide information as requested by NERC. Further information regarding the content and format of any evaluation will be circulated in good time by NERC ahead of the process.

30. The DTP will be expected to inform NERC Environmental Data Centres of any significant datasets generated, or to be compiled, under the award so that long-term stewardship can be planned.

31. The DTPs must provide NERC with an Interim Expenditure Statement (IES) when requested from NERC. The NERC office will contact the DTPs in good time before the request will be made.

32. NERC fully reserves the right to discuss, adjust or terminate DTP awards based on the information provided as part of the reporting process. NERC will discuss any significant changes with representatives from the DTP.

## Strategic engagement

33. NERC will contact the DTP administrators to inform them of opportunities and activities that may be beneficial to the students. CASE and Collaborative (non-CASE) studentships

### CASE studentships

34. Organisations eligible for Research Council research funding are not eligible to act as a CASE partner.

35. The DTP must ensure that over the lifetime of the award, a minimum of 25% of the total notional studentships awarded to the DTP are CASE studentships.

36. All CASE studentships must abide by the CASE requirements set out in the NERC DTP2 Guidance document.

37. NERC training grant funding cannot be used to meet the CASE partner financial contributions.

38. NERC will review the DTP's CASE compliance throughout the lifetime of the grant and reserves the right to use the outcomes in future DTP studentship allocation decisions.

### Collaborative (non-CASE) studentships

39. NERC requires the DTP to monitor and record collaborative studentships through reporting processes and the outcomes of this will be formally recognised by NERC as a success metric as part of the DTP's performance monitoring.

## Advanced Training

### Research Experience Placements (REPs)

40. All REPs must abide by the REP requirements set out in the DTP2 Guidance document.

41. NERC will allocate funding for REPs to each DTP award and will provide up to £2,500 per REP to the DTP Lead Administrative Partner following submission of post-REP monitoring forms, in which all costs are to be itemised. All awards will be cash limited up

to this amount.

42. NERC will monitor the uptake and outcomes of the REPs scheme. Students and Supervisors are required to complete a post-REP final report form within three months of the completion of the placement. Template forms are available on the NERC website alongside further information regarding REPs. Completed forms should be collated by the Administrative Lead Partner and submitted to [researchcareers@nerc.ukri.org](mailto:researchcareers@nerc.ukri.org).

43. NERC reserves the right to terminate the REPs scheme throughout the lifetime of the DTP scheme.

#### Naming and branding

44. NERC DTP2 grants must include NERC branding on all relevant materials and websites. The branding should be clearly displayed and must abide to the NERC Logo and identity guidelines found on the NERC website.

#### Forms, FAQs & guidance

45. Annual reporting and Significant Change forms, additional guidance and FAQs regarding the NERC DTPs can be found in the relevant section of the NERC DTP2 webpages.

#### Contact

For any queries regarding the NERC DTPs, please contact [researchcareers@nerc.ukri.org](mailto:researchcareers@nerc.ukri.org)

## CALL CONDITIONS

## RESEARCH COUNCIL CONDITIONS

## SCHEME CONDITIONS

#### Introduction

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

These terms and conditions should be read in conjunction with the Statement of Expectations <https://www.ukri.org/files/legacy/skills/statementofexpectation-revisedseptember2016v2-pdf/>

and

Terminology of Training Grants documents

<https://www.ukri.org/files/legacy/skills/rcukcommonterminologyforpostgraduatetraining2013-pdf/>

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

- Arts and Humanities Research Council (AHRC)
- Biotechnology and Biological Sciences Research Council (BBSRC)
- Economic and Social Research Council (ESRC)
- Engineering and Physical Sciences Research Council (EPSRC)
- Medical Research Council (MRC)
- Natural Environment Research Council (NERC)
- Science and Technology Facilities Council (STFC)

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

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

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

Acceptance of a Training Grant constitutes acceptance of both the core conditions and any additional conditions. These conditions

also apply to activities subcontracted to 3rd parties. These conditions cannot be waived or varied without the consent of the awarding Research Council. Any request by the grant holder to the Council to vary these terms and conditions must be submitted through the Je-S grants maintenance facility and approved in writing by someone authorised to do so on behalf of the Council.

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

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

## Contents

### Definitions

- (A) Regulations
- (B) Accountability and Responsibilities of the Research Organisation
- (C) Research Governance
- (D) Use of Funds
- (E) Grant Arrangements and Starting Procedures
- (F) Financial Reporting, Inspection and Sanctions
- (G) Public Engagement
- (H) Monitoring and Information Requirements
- (I) Outcomes
- (J) Disclaimer
- (K) Status
- (L) Transfer to UKRI

### Definitions

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

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

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

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

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

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

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

**Gateway to Research** is a web-based portal:

<http://gtr.ukri.ac.uk>

that provides access to information about research funded by the seven Research Councils and Innovate UK. Data made available via GTR includes information about the individual awards, projects, people, organisations, publications and outcomes of publicly funded research. GTR aims to increase impact by making information on publicly funded research more accessible

**Je-S Student Details (Je-S SD):** The Research Councils' web-based data collection system, which Research Organisations use to return details of the students and student research projects, funded from the Training Grant.

**Research Council (RC):** Any of the bodies listed in the introduction.

**Research Organisation (RO)/Grant Awardee:** The organisation to which the TG is awarded and which takes responsibility for the management of the research training programme and the accountability of funds provided.

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

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

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

**Third Party:** any person/organisation to which the award holding RO passes on any of the grant funds awarded by the RC.

## (A) Regulations

### TGC 1 Use of Grants Proposal Information and Data Protection Privacy Notice

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

Use of submitted data may include:

- Registration and processing of proposals;
- Operation of grants processing and management information systems;
- Preparation of material for use by reviewers and peer review panels;
- Administration, investigation and review of grant proposals;
- Sharing proposal information on a strictly confidential basis with other funding organisations
- To seek contributions to the funding of proposals
- Statistical analysis in relation to the evaluation of postgraduate training trends
- Policy and strategy studies.
- Meeting the Research Councils' obligations for public accountability and the dissemination of information.
- Making it available on the Research Council's web site and other publicly available databases, and in reports, documents and mailing lists.

Data that will be made available on the Research Councils' web sites and other publicly available databases, including Gateway to Research, and in reports, documents and mailing lists will include the following data:

- Student name (for students starting from 2015 onwards)
- Name(s) of project partner organisations and supervisors
- Project titles and topics
- Project summaries
- Registration and expected submission dates
- Numbers of students in particular regions, universities or departments in context of the Training Grant funding announced.
- Aggregated information regarding demographics, student numbers, stipend levels, qualifications, age at start, migration levels (from first degree university to another) etc.

Research Organisations must ensure that students, supervisors and project partners are made aware what information, including personal data is provided to the Research Councils, and how that information about their studentship will be used by both the Research Councils and the Research Organisation. By agreeing to these terms and conditions, the Research Organisation consents to this on behalf of the Grant Holder or Students, unless the Grant Holder/Student confirm to the Research Council that s/he does not wish to be contacted. Grant Holders/Students may choose to opt out of being contacted at any point, provided they comply with all other terms and conditions associated with the Training Grant.

The Research Council is working towards compliance with the General Data Protection Regulation (GDPR), which comes into effect on May 25th 2018. All personal data collected by the Council during the application for or funding of a Grant will be handled in accordance with the GDPR principles.

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

### TGC 2 Freedom of Information Act and Environmental Information Regulations

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 five 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.

## (B) Responsibilities of the Research Organisation

### TGC 3 Responsibilities of the Research Organisation



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

In particular, the Research Organisation must ensure that:

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

The Research Organisation must ensure that the research supported by the training grant complies with all relevant legislation and Government regulation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence. Where third parties, such as a regulatory body, become involved with investigating alleged breaches in legislation as a result of work funded by the Research Council, that Research Council must be informed immediately of the circumstances.

Research Organisations are expected to take reasonable steps to recover monies paid to students in advance who leave or whose studentship is terminated.

The Research Organisation is accountable for the conduct of the research, the use of public funds and for ensuring the proper financial management of grants. These obligations apply wherever the research is carried out; either at the Research Organisation or a collaborating organisation or other third party.

The Research Organisation must ensure that funds are spent in a way that is consistent with the purpose and conditions of the award.

The Research Organisation is responsible for the timely and accurate submission of all expenditure statements and reports required by the award.

The Research Organisation shall ensure that it carries out appropriate due diligence on any third parties used to deliver any part of the work funded by the grant and shall ensure in particular, that activities carried out by such third parties comply with these terms and conditions. The Research Organisation shall provide the Research Council on request with details of expenditure of the Grant by any third party.

The Research Organisation shall comply with European Union state aid law in their own uses of Research Council funding. In the case of any breach of state aid law the Research Council may be required to recover all or some funding, together with interest. The Research Council may also be required to withhold funding or aspects of funding where the Research Organisation is subject to a state aid inquiry or which has an outstanding recovery notice against it.

The Research Organisation must retain all accounting information relating to the Grant for the current financial year plus the subsequent six years after the submission date of the final expenditure statement.

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

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

#### Student Complaints/ Difficulties

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

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

The Research Organisation is responsible for ensuring that students are aware of the complaints procedures and the Quality Assurance Agency (QAA) guidance for students about how to deal with complaints about universities: <http://www.qaa.ac.uk/Pages/Faqs.aspx>

## (C) Research Governance

### TGC 4 Research Governance

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

### Research Ethics

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

### Use of Animals in Research

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

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

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 student's research project. Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice recommended by the Health & Safety Executive.

Appropriate care must be taken where researchers are working off-site. The Research Organisation must satisfy itself that all reasonable health and safety factors are addressed.

The Research Councils reserve the right to require the Research Organisation to undertake a safety risk assessment in individual cases where health and safety is an issue, and to monitor and audit the actual arrangements made.

### Misconduct and Conflicts of Interest

The Research Organisation is required to have in place procedures for governing good research practice, and for investigating and reporting unacceptable research conduct, that meet the requirements set out in the Concordat to Support Research Integrity (2012)

[www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx](http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx)  
and the Research Councils' Policy and Guidelines on Governance of Good Research Conduct.  
<https://www.ukri.org/about-us/policies-and-standards/research-integrity/>

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

#### Modern Slavery Act 2015

The Research Organisation (RO) acknowledges that as an organization carrying out business in the UK it is required to comply with the Modern Slavery Act 2015. The RO will take steps to ensure its operations and supply chains are trafficking- and slavery-free, including without limitation imposing substantially similar obligations to those in this clause where it is permitted to subcontract its obligations under these grant terms so that multi-level supply chains are addressed.

The RO further agrees that neither it nor any of its officers, employees, nor so far as it is aware any subcontractor or other persons associated with it, have been convicted of any offence involving slavery and human trafficking.

The RO acknowledges and agrees that failure to comply with the Modern Slavery Act 2015 will constitute a breach of these terms and conditions of grant, and that a continuing breach of these terms and conditions of grant will entitle the Research Council to suspend pending remediation, or terminate grant payments.

When requested by the Research Council, the RO must supply a copy of its annual modern slavery and human trafficking statement.

#### (D) Use of Funds

##### TGC 5 Use of Funds

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

Grant funds include a provision for inflation based on the GDP Deflators published by HM Government. The value of the grant may be varied by the Research Council during the lifetime of the grant in accordance with the deflators or to take into account any other Government decisions or other changes affecting the funding available to the Research Councils.

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

Other costs, for example those associated with the administration of the training, advertising costs and the costs of open days, may be incorporated into the fee level that the Research Organisation charges to the Training Grant as long as the same level of fee is used for UK/EU non-Research Council funded students on similar programmes. Such costs may not be taken from the Training Grant other than through the fee level, unless it is explicitly included within the Training Grant.; nor may individual RC students be charged additional fees above the level paid by the Research Council.

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

The Research Councils require public funds to be deployed with due consideration to value for money across all activities. All travel claims should evidence value for money as the primary consideration. Consequently, these should only include travel by standard class by train and economy class by air for flights. Any exception should be clearly justified and approved within the terms of the RO policy.

#### Student Eligibility

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

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

#### Part-time study

We expect all award holders to offer the option of studying part-time. Studentships should be advertised as available on either a full-time or part-time basis.

## TGC 6 Student eligibility

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

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

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

### Residence requirements

For purposes of residence requirements, the UK includes the United Kingdom and Islands (i.e. the Channel Islands and the Isle of Man).

There are residence requirements for research council funding for postgraduate research. These are based on the Education (Fees and Awards) (England) Regulations 2007 and subsequent amendments. Normally to be eligible for a full award a student must have no restrictions on how long they can stay in the UK and have been ordinarily resident in the UK for at least 3 years prior to the start of the studentship (with some further constraint regarding residence for education). For further information regarding residence requirements, please see the regulations. These include further information, for example about refugees, migrant workers, residence for education and EEA nationals.

To be eligible for a fees only award:

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

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

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

### Student Training

Funds may be used for student stipends, fees, project costs and the incidental costs of research training, such as travel and conference attendance, internships and to support small, local, cohort-specific conferences.

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

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

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

Or

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

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

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

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

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

#### Changing between full-time and part-time study

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

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

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

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

#### Extensions, Suspensions and Terminations of Studentships

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

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

Research Council funded students are entitled to 52 weeks of maternity or shared parental leave. The first 26 weeks should be paid at full stipend rate. The following 13 weeks should be paid at a level commensurate with employee entitlements to statutory maternity pay. This is c. 41% of the minimum doctoral stipend. The final 13 weeks are not paid. Partners are entitled to up to 10 days paid Ordinary Paternity Leave on full stipend. Partners may be entitled to up to 50 weeks of Shared Parental Leave; this may include paid and unpaid leave, depending on the individual circumstances, any paid leave should be at full stipend. There is no qualifying period for maternity, paternity, adoption or shared parental leave.

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

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

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

#### Extensions

The period of a student's support may be extended at the Research Organisation's discretion and in line with the conditions above, to offset a period of genuine absence e.g. for maternity leave, shared parental Leave, adoption leave, extended absences covered by a medical certificate, extended jury service, subject to finding the necessary funding from within the Research Organisation's Training Account. Where there are insufficient funds in the Training Account to meet a period of genuine absence, the Research Council will consider compensation at the end of the Training Grant to cover the additional costs arising providing the Research Organisation can demonstrate that it lacks the flexibility to meet the costs and that it has no other contingency funding or concurrent Training Grants on which it could draw.

#### Early submission

In some cases, students may submit their thesis prior to the end of their award. Where the student continues to undertake work that is directly linked to their thesis, it is permissible for the doctoral award to continue to the end of the quarter in which the thesis is submitted. If the student submits on or after the original end date then the funding must cease on the end date.

#### Annual Leave

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

#### Student Transfers

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

Transfers may be arranged where they are essential to the student's training e.g. when a supervisor is moving and no appropriate alternative supervision is available. Transfers should be by agreement between the Research Organisations concerned, and must be in accordance with any additional Research Council requirements. Research Councils expect that the arrangements for such a transfer would include the relevant funds and that the Research Organisation, department or supervisor to which the student is transferring will provide a suitable training experience, including significant research activity in a research area appropriate to the studentship. The SD should be updated following a student transfer (noting that for doctoral students the 'submitting RO' must be changed (as well as the 'degree awarding RO') to ensure that the correct Research Organisation is surveyed).

Research Organisations must not agree a transfer to an institution, which is not eligible for that Research Council's funding or to a course or programme of study, which falls wholly outside the Research Council's remit. If the transfer occurs after the end of the award but before the submission date, the student will be surveyed at the original RO.

#### Decision not to transfer to doctoral study

Award holders should make every effort to ensure that the students they recruit to a doctoral award do intend to continue to doctoral study and are well-prepared to complete their doctorate. It is recognised that, despite the best efforts of all concerned, some students will not be in a position to transfer to doctoral study. Where a student who has commenced their award with the intention of undertaking doctoral study, fails to meet the requirements to allow transfer to doctoral study (upgrade), there are two options.

If the student is not continuing to study, then the award must be terminated from the date the student's registration ceases and any funding overpaid to the student must be reclaimed.

It may be agreed that the student can continue towards a Master's qualification and this will be confirmed as the exit point for that student. In this case, it is permissible for the student's funding to continue up to the date the dissertation is submitted. The RO must make every effort to ensure the decision to proceed to a Masters instead of a doctorate is taken as soon as possible. Once agreed, there must be a clearly communicated and timely deadline for completion of the Masters. In addition, please note that all students who continue studies beyond one year are included in the annual submission survey and Masters-level qualifications are not recorded as doctoral outcomes.

The Research Organisation, in discussion with the supervisor(s) and the student, must agree how to proceed.

#### Disabled Students' Allowances

Students funded from a Training Grant are eligible for additional support where, because of disability, they are obliged to incur additional expenditure in undertaking their training. Application and payment arrangements will be as specified by the RCUK Disabled Students' Allowances Framework Document and associated information

See RCUK website

<https://www.ukri.org/skills/funding-for-research-training/>

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

#### Place of Tenure

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

#### Demonstrating, Teaching and Other Paid Work

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

#### Other income and awards

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

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

#### (E) Training Grant Arrangements and Starting Procedures

##### TGC 7 Training Grant Arrangements and Starting Procedures

Training Grants are for a specified number of years, adopting fixed start and end dates. The process for activating a grant consists

of two separate stages. The Research Organisation must formally accept the Training Grant by completing and returning the Offer Acceptance within 10 working days of the offer letter being issued. Returning the Offer Acceptance will result in the Start Confirmation and the Payment Schedule being issued. The Start Confirmation must be submitted within one month of a student starting. These notifications will be taken as acceptance of the Training Grant on the terms and conditions stated, and will activate profiled payments.

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

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

#### (F) Financial Reporting, Inspection and Sanctions

##### TGC 8 Annual Statement

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

- Expenditure has been incurred in accordance with the grant conditions, and
- Those grants shown as current are continuing.

No further payments will be made until the Annual Statement has been received and accepted by the Research Council.

##### TGC 9 Expenditure Statements

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

If there are exceptional reasons that will prevent submission of the expenditure statement within the period allowed, a written request may be made via the grant maintenance facility in Je-S, for the submission period to be extended. The written request must be made before the due date passes.

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

##### TGC 10 Disclosure and Inspection

The Research Council reserves the right to have reasonable access to inspect the records and financial procedures associated with Training Grants or to appoint another body or individual for the purpose of such inspection. This includes expenditure by third parties. Research Councils shall be entitled to request and/or have access to any financial records and reports that are deemed appropriate to demonstrate the regularity and propriety of expenditure, including but not limited to:

- Annual report & accounts
- External audit management letter
- ISA260 - Communication with those charged with governance
- Related internal audit reports

The Research Organisation must report to the Research Council:

- Any investigations (and their outcomes) into research misconduct associated with the grant at the stage that it is decided to undertake an informal inquiry; and
- on request provide information on:
  - its management of research integrity and ethics as described at:  
<https://www.ukri.org/about-us/policies-and-standards/research-integrity/>
  - Details of any retractions or withdrawal of submissions/publications
- Any allegations, proven or not, of any cases of fraud

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

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

##### TGC 11 Sanctions

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

Further details on the assurance requirements of the Research Councils can be found at:  
<https://www.ukri.org/about-us/policies-and-standards/funding-assurance-programme/>

If the final expenditure statement is not received within the period allowed the Research Council may recover 20% of expenditure incurred on the grant. All payments may be recovered if the statement is not received within 6 months of the end of the grant.

The Research Council shall be entitled to suspend payments or recover funds on grants in the event that the Research Organisation does not comply with the terms and conditions of grant.

## (G) Public Engagement

### TGC 12 Public Engagement

It is the responsibility of the Research Organisation, Supervisors and Students to actively communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest. Special schemes exist in some Research Councils providing additional support for these activities, or earmarked funding may be provided in the Training Grant for this purpose.

The Research Organisation is expected to adopt the principles, standards and good practice for public engagement with research set out in the 2010 Concordat for Engaging the Public with Research  
[www.ukri.org/public-engagement/research-council-partners-and-public-engagement-with-research/embedding-public-engagement/](http://www.ukri.org/public-engagement/research-council-partners-and-public-engagement-with-research/embedding-public-engagement/).

The Research Organisation must create an environment in which public engagement is valued, recognised and supported. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation.

## (H) Monitoring and Information Requirements

### TGC 13 Monitoring and Information Requirements

The Research Organisation will be required to provide the Research Council with standard information on students and their training programmes through the Je-S Student Details (SD) for inclusion in the Research Council's management information system and other uses referred to in paragraph 2. Where a student is funded from two Councils' TGs, the information should be returned to the Council which is acting as the majority funder (see above), and not returned to the other council. Details of the secondary Research Council funder would be included in the submitted data. Information should be entered within one month of the student starting their studies and updated as soon as any changes occur. Failure to provide this information may result in sanctions being imposed on future payments.

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

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

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

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

Where the award of a doctoral degree has not been recommended, ROs should amend Je-S Student Details to reflect the actual degree awarded. If a student submits a doctoral level thesis and is subsequently awarded a lower degree e.g. MPhil, the RO should record this within Je-S Student Details as 'No Degree Awarded'. This will still be shown as a submission for the purposes of the submission rate survey, as a doctoral thesis will have been submitted. However, if the decision is taken in advance of submission that a student should submit a thesis at a lower degree level, this will be shown as a nil-submission for the purposes of the submission rate survey exercise, as no doctoral thesis will have been submitted.

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

The Research Councils have also developed online systems to collect information on the outputs and outcomes of Training Grants and Studentships. Guidance has been issued on the use of these systems, the timing and scope of reporting and how the information may be used and published by the Research Councils. The Research Organisation must ensure that information is returned in accordance with the guidance provided.

## (I) Outcomes

### TGC 14 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.

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

Arrangements for collaboration and/or exploitation must not prevent the future progression of research and the dissemination of research results in accordance with academic custom and practice. A temporary delay in publication is acceptable in order to allow commercial and collaborative arrangements to be established.

#### TGC 15 Publication and Acknowledgement of Support

The students supported by the Training Grant should, subject to the procedures laid down by the Research Organisation, publish the results of their research in accordance with normal academic practice and the RCUK policy on open access <https://www.ukri.org/files/legacy/oadoocs/ukri-open-access-principles-and-high-level-policy-pdf/>

Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the Research Council, quoting the Training Grant reference number if appropriate. Journal publications should acknowledge the funding source using the standard format agreed by funders and publishers and detailed in the additional information accompanying this Training Grant.

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

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

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

##### Example 1:

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

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

##### Example 2:

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

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

#### (J) Disclaimer

##### TGC 16 Disclaimer

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

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 Training Grant at any time, subject to reasonable notice and to any payment that may be necessary to cover outstanding and unavoidable commitments.

Further to TGC5, the Research Councils reserve the right to amend the payment profile at their discretion. The Research Organisation will be advised, in advance, of any such change. Changes to payment profiles may affect the overall value of the Training Grant.

#### (K) Status

## TGC 17 Status

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 Training Grant; contain the whole agreement between the Research Council and the Research Organisation in relation to the stated Training Grant. The Research Council and the Research Organisation do not intend that any of these terms and conditions should be enforceable by any third party.

## (L) TGC 18 Transfer to UK Research & Innovation

The parties acknowledge that United Kingdom Research and Innovation (UKRI) will be established as a body corporate in accordance with the Higher Education and Research Act 2017 and that the property, rights and liabilities of the awarding Research Council will be acquired by United Kingdom Research and Innovation in accordance with the provisions of that Act.

The parties agree that on and with effect from the date on which the UKRI Property Transfer Scheme becomes effective in accordance with its terms (the Scheme Effective Date):

- all rights and benefits of the awarding Research Council arising out of or in connection with this agreement; and
- all obligations and liabilities of the awarding Research Council arising out of or in connection with this agreement,
- shall (in each case) be transferred to, and assumed by, United Kingdom Research and Innovation on the basis set out in the UKRI Property Transfer Scheme.

The grant awardee undertakes that, at any time and from time to time on or after the Scheme Effective Date, it will execute such documents and take such other action as the awarding Research Council may reasonably request in order to implement and give effect to (i) the transfer of the rights, benefits, obligations and liabilities of the awarding Research Council arising out of or in connection with this agreement to United Kingdom Research and Innovation; and (ii) the release and discharge of the awarding Research Council in respect of such obligations and liabilities.

In this clause UKRI Property Transfer Scheme means a property transfer scheme made by the Secretary of State in accordance with the provisions of Schedule 10 to the Higher Education and Research Act 2017 and references to transfer and transferred shall be construed as references to assignment, novation or to the steps which are necessary to give effect to the arrangements contemplated by this clause.