



Head of Department
Research Support Office
Lancaster University
Lancaster United Kingdom
LA1 4YW

Grant Ref: ES/V002775/1

Date: 11 September 2020

Dear Head of Department

GRANT OFFER: Research Grant, Centres

GRANT TITLE: Centre for Research and Evidence on Security Threats (CREST)

The ESRC 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 ESRC

Organisation: Lancaster University

Grant Holder: Professor Paul Taylor

Grant Title: Centre for Research and Evidence on Security Threats (CREST)

Starts: 1 October 2020

Ends: 30 September 2023

Duration: 36

GRANT VALUE

Funds Awarded

	Authorised FEC (£)	RC Contribution (£)	
DI - Staff			
DI - T&S			
DI - Other Costs			
DA - Investigators			
DA - Estate Costs			
DA - Other Directly Allocated			
Indirect - Indirect Costs			
Total Value of Award			

Cost of Access to Facilities

0

(Funds not awarded to Grant Holding Organisation)

STAFF

Staff Summary

	Authorised FEC net	RC Contribution net	Number Of Staff Months
Investigator			
Other			
Researcher			

Staff and DI Investigator Details

Start Date	End Date	Duration	FTE Percent	
1 October 2021	30 September 2023	24		
1 October 2021	30 September 2023	24		
1 October 2021	30 September 2023	24		
1 October 2020	30 September 2023	36		
1 October 2020	30 September 2023	36		
1 October 2020	30 September 2023	36		

Start Date	End Date	Duration
1 October 2020	30 September 2023	
1 May 2021	30 September 2023	
1 October 2020	30 September 2023	
1 October 2020	30 September 2023	
1 October 2020	30 September 2023	
1 October 2020	30 September 2023	
1 October 2020	30 September 2023	
1 October 2021	30 September 2023	

DA Investigator Details

Average Hours/week	Name or Post Identifier

EQUIPMENT DETAILS

Description	Delivery Date	Country Of Origin	Total Value
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FACILITY AND SERVICE DETAILS

Facility	Cost of Access	Number of Units
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PROJECT PARTNERS

Organisation	Department	Last Name	First Name	In Kind Value (£)	Monetary Value (£)
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GRANT ADDITIONAL INFORMATION

GRANT CONDITIONS

Introduction

The grant is being offered subject to compliance with the following:

- Grant Specific Conditions are additional conditions specific to this grant.
- Scheme Conditions are standard ESRC conditions for ESRC Centres.
- UKRI Standard Terms and Conditions of Grants (Terms and Conditions of Research Council fEC Grants) Grants awarded by the Research Councils (which are part of UK Research & Innovation 'UKRI') are made to Research Organisations on the basis of this single set of core terms and conditions.

Acceptance of a grant constitutes acceptance of both the standard conditions and any additional conditions. Any request by the grant holder to the ESRC 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 ESRC. Where there is variance between the Scheme or UKRI standard conditions and the Grant Specific Conditions, in all instances the Grant Specific Conditions take precedence.

Grant Specific Conditions

The following conditions have been imposed on this grant by the Commissioning Panel:

- Formalise expectations around communications between the Funders and CREST, both formal and informal, covering aspects such as frequency and purpose of interactions. This includes agreeing on an effective way for the Funders to keep updated on project outcomes, perhaps through Monday.com.
- CREST to share a stakeholder engagement strategy with the Funders and identify where the Funders can provide advice and support, for example, by facilitating introductions. All CREST researchers to receive training on how to engage in an appropriate way with external stakeholders.
- A representative from the Funders will join the Security Research Ethics Committee (SREC).

The Panel also expects the Principal Investigator to take account of the following advice:

- The commissioning call would benefit a longer lead in time (currently proposed as Jun - Oct) with an alternative for the initial consultation to focus on Funders being involved in the consultations around core theme proposals.

Precise arrangements for the delivery of the above conditions will be determined within three months of the commencement of the grant, in consultation with the ESRC Investment Manager for CREST.

Conditions for the Duration of the Grant:

Al-Attars Project on Practice Consolidation and Assessment

Dissemination and Publication of Outputs

CREST is strongly encouraged to disseminate its findings, including publishing in academic journals. The Government Communications Planning Directorate (GCPD) on behalf of the UK Government Partners that fund CREST (the Funders) will nominate a main point of contact for CREST and this person will be responsible for commenting on draft publications prior to their submission for publication. However, CREST will not be obliged to make amendments unless draft publications contain information that is in breach of the Official Secrets Act or a confidentiality agreement, or which could have a detrimental impact to national security through the disclosure of sensitive, classified and/or personal information. In the event that the Funders consider that the proposed publication does contain information that is in breach of the Official Secrets Act and/or a confidentiality agreement and/or is detrimental to national security then CREST agrees that it will not proceed with the publication unless and until the Funders' nominated point of contact confirms that its concerns have been addressed.

The ESRC supports the UK Data Service which is responsible for the cataloguing and archiving of data. As an ESRC managed investment CREST is required to make its research data available to the scientific community in a timely and responsible manner unless there are exceptional reasons why this cannot happen. CREST will consult the UK Data Service at the earliest opportunity to ensure that appropriate technical procedures are maintained. Before depositing data with the UK Data Service, CREST is required to consult the Funders' nominated main point of contact to ensure that all such deposits do not breach the Official Secrets Act or a confidentiality agreement and will not have a detrimental impact on national security.

Intellectual Property Rights

Intellectual Property Rights generated under the Grant Agreement rest with CREST and/or any relevant Academic Partner (as set out in the Grant Agreement). The Funders have the right to use all CREST outputs for government purposes. Any pre-existing intellectual property rights of the Funders or any other government department or agency (including but not limited to intellectual property rights in classified information) remain theirs (or the relevant department or agency) at all times.

Security Arrangements

CREST is expected to cooperate with the Funders in making appropriate security arrangements for any work involving classified information. If classified information is involved in any work undertaken by CREST, CREST understands and acknowledges that special arrangements will be agreed directly with the Funders to ensure that the information is properly safeguarded. If the work of CREST requires them to have access to sensitive or confidential information, core staff may be required to sign the Official Secrets Act and a confidentiality agreement and may be asked to apply for security clearance.

Freedom of Information Act

The UK security and intelligence agencies are exempt from the disclosure provisions of the Freedom of Information Act (FoIA) and that exemption will apply to any information (including Confidential Information) disclosed by the Agencies to CREST. If the CREST or its academic partners receives a FoIA disclosure request in respect of any information disclosed to it by the Funders it agrees that it will not respond directly to the disclosure request but will inform the Funders' main point of contact (via ESRC or directly) as soon as is reasonably practicable of the disclosure request and will comply with any reasonable instructions the Funders provide.

Changes or Termination

The ESRC will, where possible, seek to ensure that in the event of changes or termination, a minimum notice of six months' notice will be given to the RO and grant holder.

This grant can be terminated at any time by ESRC on behalf of the Funders giving prior written notice to CREST, in which case any Research Funding provided by ESRC on behalf of the Funders will be stopped. CREST will prepare an up to date statement of account showing any funds that are outstanding from ESRC or are due to ESRC at the date on which the notice of termination is due to expire.

If the grant is reduced in value CREST, the Funders and ESRC will meet to agree how best to accommodate the changes.

CREST agrees not to enter any obligations using Grant funds that cannot be terminated on six months' notice.

Vetoing of Projects

The Funders maintain the right to cease funding a project if it does not meet the following requirements:

- The Funders have fed into the co-creation process and raised issues in relevant meetings during this process.
- The Funders have worked with the academics to consider how the project could be delivered differently to still meet Funder requirements
- There has been sufficient written warning that in its current format the project will fail to meet the Funders requirements.

This clause is only to be used to ensure that public funds are spent on projects that provide business value to the Funders. This clause can only be enacted if all of the following criteria above have been met.

Research Commissioned by CREST

Any Academic Partners commissioned after the date of this grant letter must be commissioned in accordance with ESRC's commissioning process. Any such Academic Partner should be discussed by CREST, the Funders and the ESRC. CREST must have a binding agreement with any Academic Partner before any work by an Academic Partner commences.

Commissioning of new research must be conducted in a way that will elicit a broad range of research and will include opportunities for small scale early career and innovative bids within the commissioning framework. The commissioning process must be demonstrably transparent and fair and include impartial reviewers and assessors.

Monitoring and Evaluation

The Principal Investigator and/or their Deputy as well as other relevant members of staff as necessary will attend meetings with ESRC and the Funders at frequencies to be agreed within the first three months of the grant start date.

CREST will provide interim research findings when requested to do so by the Funders and will be subject to the end of award reporting and evaluation processes set out in the ESRC Research Funding Guide.

Annual Reporting: Progress reports will be submitted on an annual basis. The ESRC Investment Officer will provide CREST with a template for the annual reporting within three months of the commencement of the grant. The template will include guidance on what is required year on year and a framework for the Forward Plan and Key Performance Indicators. CREST's Annual Report should normally be considered by an Advisory Group prior to submission and discussed at a subsequent meeting with the Funders.

Forward Plan: As part of the annual reporting CREST is required to produce a Forward Plan which sets out in requisite detail how it is intending to work towards its overarching aims and objectives in the coming year. The Forward Plan should be derived from CREST's Impact Strategy and Scientific Programme.

Key Performance Indicators (KPIs): Key Performance Indicators for the output and impact of work undertaken during this period of funding are to be developed. The Key Performance Indicators will be based on the programme of activities and the Impact and Communications Strategy (see Scheme Conditions). These are the milestones and goals that CREST will aim to achieve year on year and will include targets in relation to outputs/publications, conference papers, discussion papers, dissemination activities, training and capacity building. These will include targets for output intended for academic audiences, and targets for communication with relevant practitioner and policy audiences. The Key Performance Indicators will be monitored as part of the annual reporting cycle and will be discussed at the Annual Reporting meetings between CREST, the ESRC and the Funders.

Responsibilities for delivery of the programme of work

The CREST Principal Investigator, who is the individual who takes responsibility for the intellectual leadership of CREST and for the overall management of the research, assisted by CREST's Management Team, will be responsible to the Research Organisation and through the Research Organisation to the ESRC and the Funders, for the achievement of CREST's objectives.

The Principal Investigator will provide scientific direction and leadership to CREST and be responsible for:

- providing leadership to ensure CREST performs well in the light of its objectives and its intellectual and engagement strategies within the Funders' expectation of quality, impact and independence;
- providing intellectual leadership, to ensure the scientific quality of outputs is as high as possible;
- liaising with the Funders and other relevant government departments;
- providing a lead on engaging with potential users of the research, especially users outside the research community, to ensure, as far as possible, that the research is meeting the needs of users and beneficiaries (note the grant condition that CREST share a stakeholder engagement strategy with the Funders and identify where the Funders can provide advice and support)
- providing input to public policy debates, to highlight the contribution of a major social science investment to important issues of public interest;
- managing the research process, to secure maximum value for money from the investment.

It is expected that CREST will review the membership and terms of reference of its Advisory Group. Guidance on terms of reference for Advisory Groups is included in the Scheme Conditions. While it is recommended that proposed Advisory Group membership is discussed with the Funders, CREST will retain autonomy on the final selection of members. Details of the Advisory Group should be published on the CREST website - information should contain terms of reference and frequency of meetings. CREST should consider whether the identities of Advisory Group members should also be published. CREST will provide the administrative support for the Advisory Group meetings.

Representatives from ESRC and the Funders will not be members of the Advisory Group but should be invited to attend Advisory Group meetings as observers. It will be at the discretion of ESRC and the Funders whether they wish to attend on a regular basis. CREST must ensure that the ESRC and representatives from the Funders receive meeting papers for Advisory Group meetings (whether attending or not) before the meeting and must ensure that the ESRC and representatives of the Funders receive a note of the meeting after the event.

Risk Management

CREST must, within three months of acceptance of the grant, produce a risk register to identify, assess and manage key risks in relation to delivery of the outputs required under this funding agreement. Guidance on the type information that might include in an assessment of key risks is included in the Scheme Conditions. Risk Management will be periodically reviewed, including through the Annual Reporting process.

ADDITIONAL INFORMATION

Breaches of Terms and Conditions

Failure to comply with Terms and Conditions and further conditions appearing within the Research Funding Guide will constitute a breach of grant terms and ESRC reserves all the rights in this regard, including without limitation the right to terminate the grant in accordance with RGC 13.3 below.

ESRC also reserves the right, at its discretion and to the extent it may lawfully do so, to take any such breach into account when making any subsequent grants to you or your Research Organisation.

Grant Administration

The Research Organisation is responsible for the conduct and administration of the grant and will provide those facilities required for the research which do not form part of the ESRC's contribution.

CALL CONDITIONS

RESEARCH COUNCIL CONDITIONS

SCHEME CONDITIONS

Grant Management

The grant holder will provide scientific direction, leadership and overall management of the research and be responsible for ensuring that:

- * the grant performs well in the light of its objectives and intellectual and engagement activities.
- * the scientific quality of the grant's work and its outputs are as high as possible.
- * the research meets, as far as possible the needs of users and beneficiaries and providing a lead on engaging with potential users of the research especially users outside the research community.

The grant holder is expected to provide input to ESRC policy debates (e.g. consultation on ESRC's Strategic Priorities), and a channel of communication for the ESRC with the research community.

The grant holder is expected to keep abreast of the ESRC's Strategic Plans and other Policy statements.

Appointment of staff

The ESRC must be informed of any changes to leadership staff posts. The research organisation must promptly submit proposals to the ESRC for replacement of these individuals and the replacement must be acceptable to the ESRC. In the event that the research organisation cannot submit such proposals or such proposals are not accepted by the ESRC, then the ESRC may terminate or suspend the grant.

The Research Organisation must ensure that all staff employed on the grant are bound by the provisions noted in the grant documentation and that no person engaged on the grant, whether on a part-time or full-time basis, enters into obligations with the Research Organisation or other bodies on conditions which are incompatible or inconsistent with these conditions.

Accommodation

The Research Organisation agrees to ensure that the departmental commitments given to the Grant Holder and Co-Investigators will not be so onerous as to prevent them from meeting their management commitments to the Grant. In addition to this, the Research Organisation must ensure that suitable accommodation is provided to house the ESRC Grant over its lifetime.

Advisory Group

ESRC fully supports the Advisory Group model for its large investments. The Grant will provide the administrative support for the Advisory Group meetings.

The research organisation will appoint its own Advisory Group which will oversee the activities of the Grant Holder and the development of the ESRC Grant's strategy and programme of work.

Membership of the Advisory Group should be in accordance with the terms specified in the ESRC Research Funding Guide.

Grants should publish details of their respective Advisory Groups on their websites. Information should contain membership, terms of reference and frequency of meetings.

The Chair will be appointed in consultation with the ESRC and its membership is discussed at an early stage with the ESRC case officer.

ESRC Case officers should not be members of the Advisory Groups but should be invited to attend Advisory Group meetings as observers. It should be at the discretion of the ESRC Case Officers whether they wish to attend. The ESRC case officer should receive copies of Advisory Group's meetings' agenda, papers and minutes or notes when requested.

Risk Management

The grant holder and research organisation must, within three months of acceptance of the grant, produce a risk register to identify, assess and manage key risks in relation to delivery of the outputs required under this funding agreement. Whilst ESRC does not wish to be prescriptive as to the form or content of the register, it should include consideration of key risks in terms of delivery of areas such as: Governance and Staffing; Delivery and Outputs; Infrastructure and Facilities; Finance, Income Management, Procurement, Value for Money and Subcontracting; Legal, DPA, FOIA and IPR-related; Quality; Research Sustainability; Ethics, Scientific Fraud and Misconduct; Reputational Aspects; and Socio-Political Factors.

The format of the plan or register would need to be in accord with that of the Research Organisation. Whilst ESRC expects the Centre's management to take ownership of the Register and its updating, ESRC may wish to see and comment upon the contents, and to include oversight of the register within its inspection rights during the life of the grant.

Monitoring

The ESRC Case officer has responsibility for monitoring the scientific and financial performance of the Grant.

The grant holder and co-investigators should develop good working relationships with their ESRC Case Officers and encourage ongoing dialogue, communications and engagement.

The grant holder, co-investigators and research organisation should provide the ESRC Case Officer with any required evidence of good performance and impact across all functions of the grant (eg reports, progress updates, KPIs and other investment management requirements) as requested.

An Impact and Communications Strategy should be completed within three months of notification of funding to achieve and maintain the Impact Plan made within the Case for Support at the proposal stage. It is recommended that the Impact and Communications Strategy is revisited at least once a year. The ESRC Impact and Communications Strategy Template can be found at (www.esrc.ac.uk/research/evaluation-and-impact/developing-an-impact-strategy/). The ESRC may request copies of the Impact and Communications strategy.

Reporting

The Grant holder and co-investigators must submit a final report to ESRC Reports Officer (reportsofficer@esrc.ac.uk) within three months after the end of the grant. The current final report templates are available at www.esrc.ac.uk/funding/guidance-for-large-investments/ but these may be subject to change.

The ESRC reserves the right to revise its monitoring and reporting requirements.

Evaluation

The ESRC assesses and evaluates grants on a strategic basis as part of broader reviews of priority areas, schemes and thematic areas. Your grant may be selected for evaluation and assessment. If this is the case, you will be contacted in advance by the ESRC.

Special Review

The ESRC reserves the right to conduct a special review of the ESRC Grant, which may be held at any time during the period of the grant, should there be in its judgement special circumstances warranting such a review, for example:

- * The Grant Holder is dismissed;
- * The Grant Holder dies, resigns, retires or unexpectedly unable to continue;
- * The Research Organisation is no longer prepared to house the Grant and/or facilitate its work;
- * There are other special circumstances which are agreed by Council and the Research Organisation as warranting a Special Review.

Publicity and publications

The Centre is asked to give priority to develop the brand and name for the Centre in conjunction with the ESRC. Final approval of the brand will be sought from the ESRC.

The ESRC normally leaves initial publicity for a grant in the hands of the Research Organisation but reserves the right to make such an announcement as it wishes after consultation with the Research Organisation.

Publicly funded R&D projects which aim to produce software outputs shall specify a proposed software exploitation route at the start of the project. At the completion of a project, the software shall be exploited either commercially or within an academic community or as OSS. Full details of the government policy on OSS can be found at: www.opensource.org

Further Funding from Other Organisations

The Grant is encouraged to seek additional funds from other organisations in support of its activities, or for commissioned work in addition to the core activities funded under the core ESRC grant to support longer-term sustainability.

ESRC Grant Terms and Conditions

Research Funding Guide

The grant is subject to the terms and conditions set out in the ESRC Research Funding Guide and to any subsequent amendments displayed on the ESRC website: <https://esrc.ukri.org/funding/guidance-for-applicants/research-funding-guide/>. Where any conditions appear to be in conflict with one another, the research organisation should raise this with the ESRC Office who will make a final decision. If you have just received your first grant from ESRC, we have put together some information for new grant holders: <https://esrc.ukri.org/funding/guidance-for-grant-holders/information-for-new-grant-holders/>.

Responsibility of the Grant Holder (Principal Investigator)

As a holder of an ESRC research grant, you are expected to be a member of the ESRC Peer Review College and undertake review of research proposals submitted to ESRC when requested. The ESRC research grants process relies on the co-operation of the academic community in providing review comments on proposals and your success with this application is in part due to the goodwill of fellow social scientists in providing such comments. If you are not currently a member of the Peer Review College, an invitation will be issued to you in due course.

Research Outcomes

In addition to UKRI researchfish reporting requirements (see <https://www.ukri.org/funding/information-for-award-holders/research-outcomes/help-and-guidance/>) the grant holder is also required to complete the key findings and narrative impact reports in researchfish. This can be completed in each researchfish submission period in which a submission is required, but the award holder is required to have fully completed the key findings during the submission period after the award ends (including if the award ends during that submission period). The award holder is required to complete the narrative impact during the second submission period after the award ends. We will contact grant holders before the submission period in which the reports are due and will check they have been completed after the submission period ends. If the reports are not completed, the grant holder will be ineligible to apply for ESRC funding until this is rectified.

Research Data Policy

The requirements of the ESRC Research Data policy are a condition of ESRC research funding. Grant holders are advised to consult the ESRC Research Data policy at <https://esrc.ukri.org/files/about-us/policies-and-standards/esrc-research-data-policy/>. All data created or repurposed during the lifetime of an ESRC grant must be made available for re-use or archiving within three months of the end of the grant. Further guidance on data management is provided by the UK Data Service: <https://ukdataservice.ac.uk/>. The ESRC will apply sanctions to the grant where data, to the required standard, has not been offered to the UK Data Service for archiving within three months of the end of the grant, except where a modification or waiver of deposit requirements has been agreed in advance.

Publicity and Publications

The ESRC Grant is required to supply the ESRC on request with a copy of all of its publications including books, monographs and journal articles arising from its work and to notify the ESRC of publicity or coverage in the media. In the case of the printed media, the Grant may be asked to supply the ESRC with a copy of the coverage. The Council requires that the ESRC corporate logo is displayed on all promotional and corporate material (including publications, reports, presentations, websites, and stationery) in line with ESRC's identity guidelines. The ESRC grant must acknowledge ESRC's support in any publication or announcement. The Council asks that the following form of words be used: "The support of the Economic and Social Research Council (ESRC) is gratefully acknowledged". Where international publication takes place, the attribution should be to the Economic and Social Research Council (UK). In a book acknowledgement the ESRC must appear prominently in the preliminaries. In a journal article, it should preferably appear on the first page (as Footnote 1 where footnotes are set throughout the text or as an independent line if the footnotes are accumulated at the end of the text). If this is impossible for reasons of house style, the acknowledgement should appear as prominently as is reasonably practicable. The grant holder should also try to ensure, where feasible, that any journalist, radio or television programme makes similar acknowledgement. The work should not be described as being 'Government-funded' i.e. under the direct sponsorship of Government. The ESRC requires to be given advance notice and sight of press releases at least two working days before they are distributed and, where possible, advance notice of all opinion pieces, blogs and likely newspaper articles or media appearances. Failure to comply with this requirement will be viewed as a serious matter which could lead to action being taken in respect of the Research Organisation's ability to hold further research grants. Subject only to the ethics of confidentiality, as they relate both to individual subjects of research and to the contractual relationship between non-academic clients and the Grant, the Grant will not enter into any agreement, whether explicitly or implicitly, giving any other person the ultimate right to suppress research results which the investigator or the Council might wish to publish. Special care must be taken to omit, from any public statement, details which may prejudice commercial exploitation.

UK RESEARCH AND INNOVATION FEC GRANTS

STANDARD TERMS AND CONDITIONS OF GRANT

Introduction

UK Research and Innovation FEC Grants Standard Terms and Conditions of Grant

The Standard Terms and Conditions of Grant apply to Research Grants and Fellowships, costed and funded on a Full Economic Costs basis(fec) and calculated according to the Transparent Approach to Costing (TRAC) or an equivalent methodology, awarded by the following seven UK Research and Innovation (UKRI) Councils:

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)

Application of Standard Terms and Conditions of Grant

In these Standard Terms and Conditions of Grant, the words "We", "Our" or "Us" refer to the relevant Council of UKRI awarding the Grant and "You" or "Your" refer to the Research Organisation in receipt of the Grant. Other key terms used in these Standard Terms and Conditions of Grant are set out in the Definitions attached at Annex A.

These Standard Terms and Conditions of Grant, together with any applicable Specific Terms and Conditions of Grant required by an individual Council of UKRI comprise the Grant Terms and Conditions on which UKRI awards the Grant to the Research Organisation. Specific Terms and Conditions of Grant will be set out in the Grant Offer Letter.

These Grant Terms and Conditions should be read in conjunction with the sources outlined in Annex B, in the event of any conflict the terms of these Conditions should prevail.

Use of Grant Proposal Information

UK Research and Innovation (UKRI) handles all personal data in accordance with current UK data protection legislation and the EU General Data Protection Regulation (GDPR) where appropriate.

It is the responsibility of the Research Organisation to ensure that both students it funds from UKRI funding and individuals who receive grant funding, or who are later involved in the award, are made aware of how personal data may be used by both UKRI and the Research Organisation. This includes information relating to groups such as students, supervisors, project partners, investigators, named researchers and support staff.

To meet UKRI's obligations for public accountability and the dissemination of information, contents of funded research proposals will also be made available on the Councils' websites and other publicly available sources. As a condition of funding, UKRI may use the data to publish information on awards made. We may also share information with third parties to support, for example, open access publication and reporting outcomes via Researchfish. This includes data submitted through Je-S Student Details (SD).

UKRI is also subject to the UK Freedom of Information Act (2000) and the Environmental Information Regulations (2004) and may be required to release grant information on request, subject to appropriate exemptions.

Further information is provided by the UKRI Use of grant proposal information addendum (www.ukri.org/files/funding/tcs/grants-addendum-pdf/) and via the UKRI Privacy Notice (www.ukri.org/privacy-notice/).

Standard Terms and Conditions of Grant

RGC 1 Variation to Terms and Conditions

UKRI reserves the right to amend and vary these Standard Terms and Conditions of Grant and any Specific Terms and Conditions of Grant or applicable policies at any time. The latest version of the Standard Terms and Conditions of Grant apply to all Grants with immediate effect and supersede any previous Standard Terms and Conditions under which a Grant was awarded unless otherwise stated. However, any Specific Terms and Conditions of Grant will still apply. Additional costs incurred as a direct result of changes made to Our Terms and Conditions should be managed within the Grant cash limit. Where the cash limit is exceeded solely due to costs incurred as a result of changes made to Our Terms and Conditions, a case can be made to Us for additional funds on an exceptional basis. The latest version of the Standard Terms and Conditions of Grant are available on the UKRI website at: <https://www.ukri.org/funding/information-for-award-holders/grant-terms-and-conditions/>

RGC 2 Accountability & Responsibilities of the Research Organisation

RGC 2.1 You are responsible for ensuring that the Project carried out by You, the Grant Holder and any Research Workers or other Third Parties, comply with these Standard Terms and Conditions of Grant and any Specific Terms and Conditions of Grant.

RGC 2.2 You must ensure that the Project is carried out in accordance with all applicable ethical, legal and regulatory requirements including but not limited to relevant provisions of the General Data Protection Regulation, the Data Protection Act 2018, the Bribery Act 2010, the Fraud Act 2006, the Equality Act 2010 and the Modern Slavery Act 2015.

RGC 2.3 You must ensure that Your use of the Grant complies with European Union State Aid(1) law. Where You are informed or You are aware that Your use of the Grant counts as De Minimis Aid(2), the financial limit must not be breached. All other use of the Grant which counts as Aid must fall under the General Block Exemption Regulation(3), it is Your responsibility to inform Us of any State Aid derived throughout the Grant Period. You acknowledge that if You breach State Aid law, UKRI may be required to recover some or all Grant funding, together with interest. For further information please refer to the Department for Business Innovation and Skills: The State Aid Manual.

(1) - Including but not limited to Articles 107 to 109 of the Treaty on the Functioning of the European Union, the General Block Exemption Regulation and any Enabling Regulation, as amended from time to time

(2) - Commission Regulation (EU) No 1407/2013

(3) - Commission Regulation EU No. 651/2014

RGC 2.4 You are accountable for the conduct of the Project including the conduct of the research, the use of public funds and the proper financial management of the Grant in accordance with these Standard Terms and Conditions of Grant and any Specific Terms and Conditions of Grant, whether the Project is carried out by You or the Grant Holder, Research Workers or other Third Party.

RGC 2.5 You must ensure that the Grant is spent in a way that is consistent with the purpose and conditions set out in the Offer Letter.

RGC 2.6 You must carry out appropriate due diligence on any Third Parties used to deliver any part of the Project and shall ensure in particular, that such Third Parties comply with these Standard Terms and Conditions of Grant and any Specific Terms and Conditions of Grant. At UKRI's request, You must provide details of expenditure of the Grant by any Third Party. Where all, or part, of the Project is carried out by Third Parties based overseas, You must follow the UKRI International Due Diligence Guidance: <https://www.ukri.org/files/funding/due-diligence-guidance-for-ukros-pdf/>

RGC 2.7 You must ensure that any part of the Full Economic Cost not funded by the Grant is committed to the Project before it starts.

RGC 2.8 You must have adequate business continuity plans in place to ensure minimum operational interruptions to the Project.

RGC 2.9 In order to foster a research culture which values, recognises and supports public engagement, You must adopt the principles, standards and good practice for public engagement with research set out in the 2010 Concordat for Engaging the Public with Research: <https://www.ukri.org/public-engagement/research-council-partners-and-public-engagement-with-research/embedding-public-engagement/>

RGC 2.10 You must notify UKRI of any changes to Your constitution, legal form, membership structure (if applicable) or ownership, including those that might affect Your eligibility to hold the Grant, or to deliver the Project or any other changes which affect Your

ability to comply with the Grant Terms and Conditions.

RGC 2.11 You must ensure that the requirements of the Employing Organisation under the UK Policy Framework for Health and Social Care Research (or equivalent) are met for research involving National Health Service (or equivalent) patients, their organs, tissues or data, and that the necessary arrangements are in place with partner organisations. Where You also accept the responsibilities of a Sponsor (as defined in the Policy Framework), You must also ensure that the requirements for Sponsors are met.

RGC 2.12 Peer review is an integral part of the application process and ensures research of the highest calibre is funded. Investigators and named Researchers on this Grant are expected to make all reasonable efforts to undertake the peer review of proposals for UKRI when invited to do so, unless there is a conflict of interest or the proposal is outside of their area of expertise.

RGC 2.13 By accepting this Grant You are confirming that the Grant Holder has not already received competitively obtained research or support funding from any source, for the same research Project that this Grant has been awarded by Us to support. We reserve the right to terminate the Grant should We find that the Grant Holder has been or is in receipt of the aforementioned duplicate funding, either before or during the Grant Period.

RGC 3 Research Governance

RGC 3.1 Research Ethics, Misconduct and Conflicts of Interest

RGC 3.1.1 You are responsible for ensuring that ethical issues relating to the Project are identified and brought to the attention of the relevant approval or regulatory body. Before any such work requiring approval begins, approval must have been granted by the relevant body.

RGC 3.1.2 You must follow Our Policy and Guidelines on Governance of Good Research Conduct at: <https://www.ukri.org/about-us/policies-and-standards/research-integrity/> and ensure that the requirements set out in the Concordat to Support Research Integrity (2012) are met. In particular, You are responsible for ensuring all necessary permissions are obtained before the Project begins, that there is clarity in roles and responsibility among Grant Holders, Research Workers, and Third Parties, as well as investigating and reporting unacceptable research conduct. Any potential conflicts of interest in research identified at the point of application must be declared to Us and subsequently managed.

RGC 3.2 Use of Animals in Research

You must comply with the provisions of the Animals (Scientific Procedures) Act 1986, and any amendments, where applicable and ensure that all necessary licences are in place before any work requiring approval takes place. You should also follow the guidance set out in "Responsibility in the use of animals in bioscience research": <https://www.nc3rs.org.uk/responsibility-use-animals-bioscience-research>

RGC 3.3 Health and Safety

You are responsible for ensuring a safe working environment for all individuals associated with the Project, both on and off-site, and for meeting all regulatory and legislative health and safety requirements.

We reserve the right to require You to undertake a safety risk assessment in individual cases where health and safety may be an issue, and to monitor and audit the actual arrangements made. In the event of a serious incident (e.g. death) we require that you inform us for risk purposes.

RGC 3.4 Equality, Diversity and Inclusion

You are expected to ensure that equality, diversity and inclusion is considered and supported at all stages throughout the performance of the Project, in alignment with Our policies and principles at: <https://www.ukri.org/about-us/policies-and-standards/equality-diversity-and-inclusion/> for equality, diversity and inclusion. Your approach to supporting equality, diversity and inclusion is expected to exceed all relevant legal obligations, including but not limited to those of the Equality Act 2010.

RGC 3.5 Safeguarding

All relevant safeguarding legislation must be adhered to, We particularly draw your attention to child protection legislation and the Modern Slavery Act 2015. You must have sufficient policies and/or processes in place in order to foster Safeguarding.

RGC 3.6 Bullying and Harassment

You must have clear, well-publicised policies, processes and training in place consistent with good practice as recommended by the Advisory, Conciliation and Arbitration Service's (ACAS) 'Bullying and Harassment in the Workplace: A Guide for Managers and Employers'.

RGC 3.7 Whistleblowing

You must have clear, well-publicised policies and processes in place consistent with good practice recommended by the National Audit Office Assessment Criteria for Whistleblowing policies.

RGC 4 Use of Grant

RGC 4.1 We reserve the right to vary the value of the Grant during its lifetime in accordance with the GDP Deflators published by HM Government or to take into account any other Government decisions affecting the funding available to UKRI.

RGC 4.2 With the exception of RGC 4.3, Directly Incurred and Exceptions funds must not be used to meet the costs of an activity that will fall outside the Grant Period.

RGC 4.3 Expenditure may be incurred prior to the start of the Grant and be subsequently charged to the Grant, provided that it does not precede the date of the Offer Letter.

RGC 4.4 Transfers of funds between fund headings are permitted only within and between Directly Incurred and Exceptions costs, excluding equipment, at the rate applicable for the heading as set out in the award letter. Funds may only be transferred into studentship stipend or fees to supplement an existing studentship post on the Grant. You must not transfer funds to create new posts without prior approval from UKRI. Directly Incurred and Exceptions funds must not be used to meet costs on any other Grant or activity.

Funds can only be transferred and used to meet the cost of activity or activities that meet the agreed aims and objectives of the project. While approval does not need to be sought from Us for transfer of funds (excluding the creation of new posts), We reserve the right to query any expenditure outlined in the Final Expenditure Statement which has not been incurred in line with the Standard Terms and Conditions of Grant and any Specific Terms and Conditions of Grant.

RGC 4.5 Costs associated to Students must not be charged to the Grant. These costs must be met by other resources held by You, which can include UKRI Training Grants if the student holds a UKRI studentship. Students are able to undertake paid work within the institution as casual assistance, this should be evidenced with a clear audit trail and should not form part of the formal studentship training.

RGC 5 Starting Procedures

RGC 5.1 You must formally accept the Grant by completing and returning the Offer Acceptance within 10 working days of the issue of the Offer Letter.

RGC 5.2 You must submit the Start Confirmation within 42 (calendar) days of the Project starting. The date entered on the Start Confirmation will be the Official Start Date of the Grant. The Official Start Date may be delayed by up to 3 months from the start date shown in the Offer Letter, but the duration of the Grant will remain unchanged. The Grant may lapse if the Project is not started within 3 months of the start date in the Offer Letter. The start of the Grant may precede the start date shown in the Offer Letter, but must not be earlier than the issue date of the Offer Letter itself.

RGC 6 Extensions

RGC 6.1 The duration of the Grant ("Grant Period") may be extended after the Official Start Date by up to 12 months without additional funding subject to Our prior written approval. For further information, see the UKRI fEC Grant Guidance document.

RGC 6.2 For Fellowship Grants, the Grant Period may also be extended to cover familial leave, extended jury service or paid sick leave after the Official Start Date for a period in line with the Terms and Conditions of the Fellow's employment. For further information, see the UKRI fEC Grant Guidance document.

RGC 7 Monitoring

RGC 7.1 Changes to Project

You must inform and consult Us if there are any significant changes that may affect the progress, delivery or State Aid status of the Project. No substantive changes to the experimental design of a project involving the use of animals or human participation, which might affect the ethical characteristics of the award, are permitted without the prior approval of UKRI.

If You propose to make significant changes to the Project, UKRI may require revised proposals for its approval and reserves the right to make a new Grant in place of the existing Grant, or to revise, retain or terminate the existing Grant.

RGC 7.2 Transfer of a Grant to another Research Organisation

RGC 7.2.1 The Grant may be transferred to another eligible organisation, providing that it can provide a suitable environment to enable the project to be successfully completed; this will be subject to prior written approval of UKRI. Written agreement to this is required from both the relinquishing and receiving organisations.

RGC 7.2.2 Grant funding will not be revised following transfer. The receiving organisation must confirm that it will provide any additional resources needed to complete the project by returning an Offer Acceptance.

RGC 7.3 Change of Grant Holder

RGC 7.3.1 For Research Grants, You must submit any proposed changes of Grant Holder to UKRI for approval via the Grant Maintenance facility in Je-S.

RGC 7.3.2 For Fellowship Grants, changes to the Grant Holder are not permitted. In the event of the research fellow's resignation or other termination of their employment, the Grant will terminate automatically.

RGC 7.4 Research Monitoring and Evaluation

RGC 7.4.1 You must use Our nominated online system to submit information for monitoring and evaluation purposes on the outputs and outcomes and impacts of the Project during and for some years after the expiry of the Grant Period. Further information on reporting requirements can be found on the UKRI website: <https://www.ukri.org/funding/information-for-award-holders/research-outcomes/help-and-guidance/>. Failure to comply with the reporting requirements will result in suspension of Grant payments and no further proposals will be considered by UKRI where the Grant Holder is named as the Principal or Co-Investigator.

RGC 7.4.2 Exceptionally We may require a separate End of Award Report on the conduct and outcome of the Project. If required You must submit the report within 3 months of the end of the Grant Period. No further application from a Grant Holder will be considered while an End of Award Report is overdue.

RGC 7.4.3 We reserve the right to call for periodic updates on the Project's progress or to visit the Project team, or request participation in evaluation studies. The Grant Holder must make all reasonable efforts, if so invited, to respond to requests for information or to attend events or activities organised by UKRI concerning the research undertaken, including requests or events after the end of the Grant Period.

RGC 7.5 Disclosure and Inspection

RGC 7.5.1 We shall be entitled to inspect any financial or other records and procedures associated with the Grant as are reasonably required to verify the regularity and propriety of Grant expenditure, or to appoint any other body or individual for the purpose of such inspection. This includes expenditure by Third Parties.

RGC 7.5.2 If We request it, You must provide a statement of account for the Grant, independently examined by an auditor who is a member of a recognised professional body, certifying that the expenditure has been incurred in accordance with the Grant Terms and Conditions.

RGC 7.5.3 You must report to us any investigations and their outcomes into research misconduct associated with the Grant in advance of any enquiry whether informal or formal, and upon request, provide information on Your management of research integrity and ethics as described at: www.ukri.org/about-us/policies-and-standards/research-integrity/. In addition, You must provide details of any retractions or withdrawal of submissions/publications, any allegations, proven or not, of cases of fraud and any other complaint or investigation into dishonesty, fraudulent activities or business misconduct, by any regulatory body or the police into Your activities or those of Your staff.

RGC 7.5.4 We will undertake periodic reviews of Research Organisations within the Funding Assurance Programme to seek assurance that Grants are managed in accordance with the Terms and Conditions under which they are awarded.

RGC 8 Staff

RGC 8.1 Employment

You are wholly responsible for staff funded from the Grant, including Research Fellows, and accept all duties owed to and responsibilities for these staff, including, without limitation, their terms and conditions of employment, and their training and supervision, arising from the employer/employee relationship. You must appoint a Research Fellow as an employee for the full duration of the award.

RGC 8.2 Career Development

You are expected to adopt the principles, standards and good practice for the management of research staff set out in the 2019 Concordat to Support the Career Development of Researchers, including any subsequent amendments.

RGC 8.3 Maternity, Paternity, Adoption and Parental Leave

RGC 8.3.1 At the end of the Grant Period We will reimburse costs incurred by You to cover any additional net parental leave costs that cannot be met within the announced grant cash limit including Statutory Maternity, Paternity and Adoption Pay for staff, within the Directly Incurred and Exceptions fund headings. This will be payable only for the percentage of time that the staff are contracted on the Grant.

RGC 8.3.2 Within the announced grant cash limit, the Grant may be used to meet the costs of making a substitute appointment and/or extending the Grant to cover a period of parental leave for staff within the Directly Incurred and Exceptions fund headings (as outlined above). Directly Allocated and Indirect funds will not be increased as a result of such extensions.

RGC 8.3.3 You will be responsible for any liability for parental leave pay for staff supported by the Grant outside the original Grant Period.

RGC 8.3.4 Fellows are entitled to take parental leave in accordance with the terms and conditions of their employment. We will consider requests for a Fellowship Grant to be placed in abeyance during the absence of the Research Fellow for parental leave, and the period of the Fellowship extended by the period of leave. We will also consider requests to continue the Fellowship on a flexible or part-time basis to allow the Research Fellow to meet caring responsibilities.

RGC 8.4 Sick Leave

RGC 8.4.1 At the end of the Grant Period, We will reimburse You for any additional net sick leave costs that cannot be met within the announced Grant cash limit for staff within the Directly Incurred and Exceptions fund headings, except where You have already recovered these costs by claiming Statutory Sick Pay from HMRC. This will be payable only for the percentage of time that the staff are contracted on the Grant.

RGC 8.4.2 Within the announced grant cash limit, the Grant may be used to meet the costs of making a substitute appointment and/or extending the Grant to cover a period of sick leave for staff within the Directly Incurred and Exceptions fund headings (as outlined RGC 8.4.1). Directly Allocated and Indirect funds will not be increased as a result of such extensions.

RGC 8.4.3 You will be responsible for any liability for sick leave pay for staff supported by the Grant outside the original Grant Period.

RGC 8.4.4 Where there is a continuous period of sick leave in excess of 3 months, You may request approval for a substitute appointment to safeguard progress on the Project. Where a Research Assistant has been on sick leave in excess of 3 months, You must comply with all obligations to consider reasonable adjustments before making a substitute appointment. Where a Research Assistant has been on sick leave for an aggregate (not necessarily continuous) period in excess of 3 months, where this is due to a single condition or a series of related conditions, You may request an extension to the duration of the project.

RGC 8.4.5 Fellowship Grants: Fellows are entitled to take sick leave in accordance with the Research Organisation's terms and conditions. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of the Research Fellow due to sick leave, and the period of the fellowship extended by the period of sick leave. The additional salary costs for the fellow (pro rata to their percentage FTE on the fellowship) should be claimed, as necessary, at the end of the extended period.

RGC 9 Equipment

RGC 9.1 Procurement of Equipment

The procurement of equipment, consumables and services, including maintenance, must comply with all relevant national and EU legislation and consideration must be given to the energy and waste implications of all procurements. For contracts over £25,000, excluding VAT, professionally qualified procurement staff must be consulted before the procurement process begins. Any proposal to purchase equipment in the last 6 months of the Grant must be pre-approved by UKRI.

RGC 9.2 Ownership of Equipment

You must inform us if the need for the equipment diminishes substantially or it is not used for the purpose for which it was funded during the Grant Period. We reserve the right to determine the disposal of such equipment and to claim the proceeds of any sale. Any proposal to transfer ownership of the equipment during the period of the Grant requires the prior approval by UKRI.

RGC 9.3 Equipment Data

All new equipment purchased over £138,000 (£115,000 ex VAT) must be registered on the "Equipment.data" national database.

RGC 10 Financial Reporting

RGC 10.1 You are accountable for funds dispersed and are responsible for the timely and accurate submission of all expenditure reports required under the Terms and Conditions of Grant, including the submission of an expenditure statement within 3 months of the end of the Grant Period. We are entitled to require You to provide supplementary information in support of an interim or final expenditure statement. Once an expenditure statement has been received and the expenditure incurred has been reconciled against payments made, it will be considered as final. Any unspent funds will be recovered.

RGC 10.2 You 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.

RGC 10.3 If We send an Annual Statement to return showing payments made by UKRI during the previous financial year for all the Grants You hold, You must complete and return the statement by the specified deadline.

RGC 11 Sanctions

RGC 11.1 We reserve the right to impose financial sanctions and/or additional measures if You do not comply with Your obligations as set out in these Standard Terms and Conditions of Grant and any Specific Terms and Conditions of Grant.

RGC 11.2 If the End of Award Report (if required) or the Financial Expenditure Statement is not received within 3 months of the end of the Grant Period, UKRI will recover 20% of expenditure incurred on the Grant. All payments will be recovered if the report or statement is not received within 6 months of the end of the Grant. You may appeal against a sanction, but must do so within 60 days of the pay run in which the sanction was imposed.

RGC 11.3 Where an Organisation is deemed to be non-compliant in the application of TRAC, a minimum sanction of 75% of the non-compliant rate may be applied, where an Organisation is applying rates which are materially inaccurate (>10% variance on any single rate). These sanctions would only apply to future applications, until a time that UKRI Funding Assurance are satisfied that remedial measures are implemented.

RGC 12 Exploitation and Impact

RGC 12.1 Unless otherwise agreed, all intellectual property shall belong to the party that generates them. Where the Grant is associated with more than one Research Organisation and/or other project partners, the basis of collaboration between the organisations including ownership of intellectual property and rights to exploitation, is expected to be set out in a formal collaboration agreement.

RGC 12.2 You are responsible for ensuring that all parties engaged in the research make every reasonable effort to ensure that the intellectual assets obtained in the course of the research, whether protected by intellectual property rights or not, are used to the benefit of society and the economy.

RGC 12.3 In individual cases, We reserve the right to retain ownership of intellectual assets, including intellectual property (or assign it to a third party under an exploitation agreement) and to arrange for it to be exploited for the national benefit and that of the Research Organisation involved.

RGC 12.4 The Grant Holder shall, subject to the procedures laid down by the Research Organisation, publish the results of the research funded by the Grant in accordance with normal academic practice and Our policy on Open Access: <https://www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/>. Other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from Us, quoting the Grant reference number if appropriate.

RGC 13 Disclaimer

RGC 13.1 UK Research and Innovation accepts no liability, financial or otherwise, for expenditure or liability arising from the research funded by the Grant except as set out in these Terms and Conditions, or otherwise agreed in writing.

RGC 13.2 UKRI reserves the right to amend the payment profile at its discretion. You will be advised, in advance, of any such change. Changes to payment profiles may affect the overall value of the Grant.

RGC 13.3 UKRI reserves the right to terminate the Grant at any time, subject to reasonable notice and to any payment that We agree may be necessary to cover outstanding and unavoidable commitments. If a Grant is terminated or reduced in value, no liability for payment, redundancy or any other compensatory payment for the dismissal of staff funded by the Grant will be accepted, but, subject to the provisions of RGC 10 Financial Reporting, negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grant.

RGC 13.4 Where studies are carried out in an NHS Trust or equivalent, the Trust or equivalent has a duty of care to its patients. UK

Research and Innovation does not accept liability for any failure in the Trust's duty of care, or any negligence on the part of its employees.

RGC 14 Status

RGC 14.1 The Terms and Conditions of Grant which include these Standard Terms and Conditions of Grant and the Specific Terms and Conditions of Grant will be governed by the laws of England and Wales and all matters relating to the Terms and Conditions will be subject to the exclusive jurisdiction of the courts of England and Wales.

RGC 14.2 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.

RGC 14.3 The Terms and Conditions of Grant contain the whole agreement between UKRI and the Research Organisation in relation to the Grant and neither party intends that any of these Terms and Conditions should be enforceable by any third party.

Annex A Definitions

Co-Investigator: A person who assists the Grant Holder in the management and leadership of the Project.

Council: Any of the bodies listed under the Introduction.

Directly Allocated Costs: Costs of resources used by the Project that are shared by other activities. They are charged on the basis of estimates rather than actual costs and do not represent actual costs on a project by project basis.

Directly Incurred Costs: Costs that are explicitly identifiable as arising from the conduct of the Project which are charged as the cash value actually spent and are supported by an audit record.

End of Award Report: A report which the Grant Holder must provide at the end of the Grant Period, detailing the outputs, outcomes and impacts of the project to date.

Exceptions: Directly Incurred Costs that Councils fund at 100% of fEC subject to actual expenditure incurred, or items that are outside fEC.

Fellowship Grant: An award made through a fellowship competition providing a contribution to the support of a named individual. It covers the cost of the time dedicated by the fellow to their personal research programme, and may or may not include research support costs.

Full Economic Costs (fEC): A cost which, if recovered across an organisation's full programme, would recover the total cost (direct, indirect and total overhead) including an adequate recurring investment in the organisation's infrastructure.

Funding Assurance Programme: A programme of visits and office based tests by UKRI 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. Grant Support for a proportion of the full economic costs of the Project. A Grant may be either a Research Grant or a Fellowship.

Grant Holder: The person to whom the Grant is assigned and who has responsibility for the intellectual leadership of the Project and for the overall management of the research funded by the Grant. The Grant Holder is either the Principal Investigator (in the case of a Research Grant) or a Research Fellow (in the case of a Fellowship Grant).

Grant Period: The duration of time between the Project start and end date.

Grant Terms and Conditions: The Standard Terms and Conditions of Grant together with the Specific Terms and Conditions of Grant that together comprise the basis on which the Grant is awarded to the Research Organisation.

Indirect Costs: Non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated Costs. They include the costs of the Research Organisation's administration such as personnel, finance, IT, legal, general laboratory, office consumables, library and some departmental services.

Je-S: Joint Electronic Submissions system used for the submission of Grant related information.

Offer Acceptance: A document to be completed and returned by the Research Organisation either accepting or declining the Grant.

Grant Offer Letter / Offer Letter: An official document setting out specific details of the Grant, including the Project start and end date, Grant value and any Specific Terms and Conditions of the Grant as required by the relevant Council.

Official Start Date: The official start date of the Grant, as set out in the Start Confirmation.

Project: The project funded by the Grant as set out in the Offer Letter.

Research Grant: A contribution to the costs of the research Project which has been assessed as eligible for funding through the procedures established by the relevant Council.

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

Research Worker: Any person or third party working in any capacity on the Project.

Specific Terms and Conditions of Grant/Specific Conditions: The specific conditions of grant required in addition to the Standard Terms and Conditions on a Grant by an individual Council of UKRI.

Standard Conditions of Grant/Standard Conditions: The Standard Terms and Conditions of Grant published on UKRI's website at: www.ukri.org/funding/information-for-award-holders/grant-terms-and-conditions/

Start Confirmation: Confirmation of the date on which the Project commences, as notified by the Research Organisation to UKRI.

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 Council.

Transparent Approach to Costing (TRAC): An agreed methodology used by universities and other higher education bodies for calculating full economic costs.

Annex B

Information Sources

These Grant Terms and Conditions should be read in conjunction with the following sources. In the event of any conflict the terms of these Conditions should prevail:

- 1) UKRI Use of grant proposal information addendum: www.ukri.org/files/funding/tcs/grants-addendum-pdf/
- 2) UKRI Privacy Notice: www.ukri.org/privacy-notice/
- 3) UKRI Grant Terms and Conditions web page: www.ukri.org/funding/information-for-award-holders/grant-terms-and-conditions/
- 4) State Aid: Including but not limited to Articles 107 to 109 of the Treaty on the Functioning of the European Union, the General Block Exemption Regulation and any Enabling Regulation, as amended from time to time
- 5) De Minimis Aid: Commission Regulation (EU) No 1407/2013
- 6) General Block Exemption Regulation: Commission Regulation EU No. 651/2014
- 7) Department for Business Innovation and Skills: The State Aid Manual
- 8) UKRI International Due Diligence Guidance: www.ukri.org/files/funding/due-diligence-guidance-for-ukros-pdf/
- 9) Concordat for Engaging the Public with Research: www.ukri.org/public-engagement/research-council-partners-and-public-engagement-with-research/embedding-public-engagement/
- 10) UK Policy Framework for Health and Social Care Research
- 11) Policy and Guidelines on Governance of Good Research Conduct: www.ukri.org/about-us/policies-and-standards/research-integrity/
- 12) Concordat to Support Research Integrity (2012)
- 13) Animals (Scientific Procedures) Act 1986
- 14) Responsibility in the use of animals in bioscience research guidance: <https://www.nc3rs.org.uk/responsibility-use-animals-bioscience-research>
- 15) UKRI Policies and Principles for Equality, Diversity and Inclusion: www.ukri.org/about-us/policies-and-standards/equality-diversity-and-inclusion/
- 16) Equality Act 2010
- 17) Modern Slavery Act 2015
- 18) Advisory, Conciliation and Arbitration Service (ACAS) 'Bullying and Harassment in the Workplace: A Guide for Managers and Employers'
- 19) UKRI FEC Grant Guidance: <http://www.ukri.org/funding/information-for-award-holders/grant-terms-and-conditions/>
- 20) Research Outcome Reporting Requirements: www.ukri.org/funding/information-for-award-holders/research-outcomes1/help-and-guidance/
- 21) Research Integrity: www.ukri.org/about-us/policies-and-standards/research-integrity/
- 22) 2019 Concordat to Support the Career Development of Researchers
- 23) Open Access Policy: www.ukri.org/files/legacy/documents/rcukopenaccesspolicy-pdf/