

Supporting Documents provided at Interviews held at the University of East Anglia on 26 March 2010

- 1- Research, Enterprise & Engagement (REE) 2010 Structure Chart
- 2- Management of Research Policies and Strategy
- 3- Research Ethics Structure
- 4- UEA Research Ethics Policy, Principle and Procedures
- 5- UEA Guidelines of Good Practice in Research – 2009
- 6- UEA Procedures for Dealing with Allegation of Misconduct in Research
- 7- UEA Public Interest Disclosure – A Procedure for Staff to Raise Concerns About Malpractice
- 8- The Times Higher Articles: “Plagiarists face clampdown” and “Everyone’s a loser in a misconduct case”
- 9- External Research Funding – the applications process and the awards process
- 10- Professor Philip Jones NERC Award Paperwork – NER/B/S/2000/00665
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Supporting Document 1

Research, Enterprise & Engagement (REE) 2010 Structure Chart

Registrar & Secretary
Brian Summers

Academic Registrar (ACAD)
Rob Evans

PVC Research & Knowledge Transfer
Trevor Davies

Research, Enterprise & Engagement (REE) 2010

March 2010

Director of Research, Enterprise & Engagement
Ian McCormick

Strategic Programmes Manager
tba

Administrative Team

Administrative Manager
[0.8 FTE]
Lucy Houghton

Enterprise & Commercialisation Team

Head of Enterprise & Commercialisation
Jon Carter

Consultancy Manager
Sue Johnson

Business Development Manager (FOH)
Geoff Carruth

Commercialisation Manager
Joita Dey

Business Development Manager (SSF / HUM)
Julie Schofield

Commercialisation Manager
Georgina Pope

Business Development Manager (SCI)
Nick Goodwin

Business Development Manager (SCI)
Vittoria Danino-Appleton

Commercialisation & Patent Administrator
Matthew Hume

Finance & Business Development Administrator
Andrea Walker

Marketing & Systems Team

Marketing & Systems Manager
Giles Whattam

Communications & Marketing Associate
Cerian Hutchings [0.6 FTE]
Laura Paul [0.4 FTE]

Business Systems Developer
Alan Stone

Research Services Team

Research Services Manager
Alan Walker

Research Contracts Manager
[Each 0.5 FTE]
Alicia Meldrum
Fiona Meardon

Research Contracts Manager
[0.8 FTE]
Tracy Moulton

Research Contracts Associate
Svetlin Mitov

Research Contracts Manager
Sue Steel

Research Contracts Administrator
[0.6 FTE]
Julie Shingfield

Research Contracts Administrator
Jason Rust

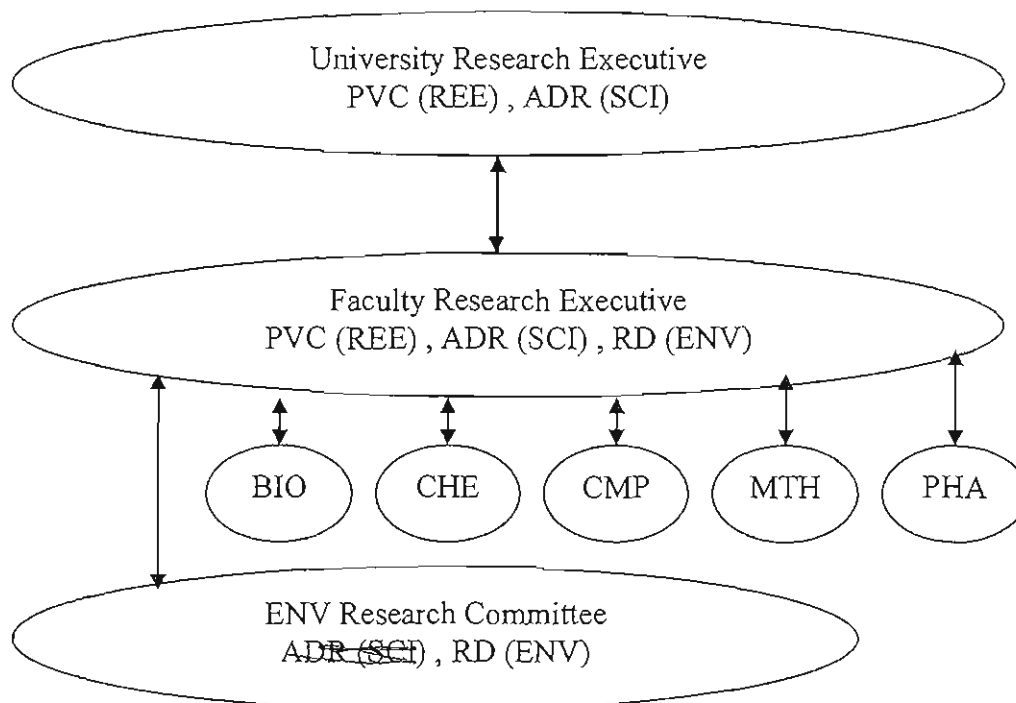
REE Administrator
[0.4 FTE]
Claire Gledhill

Research Contracts Administrator
Oliver Dean

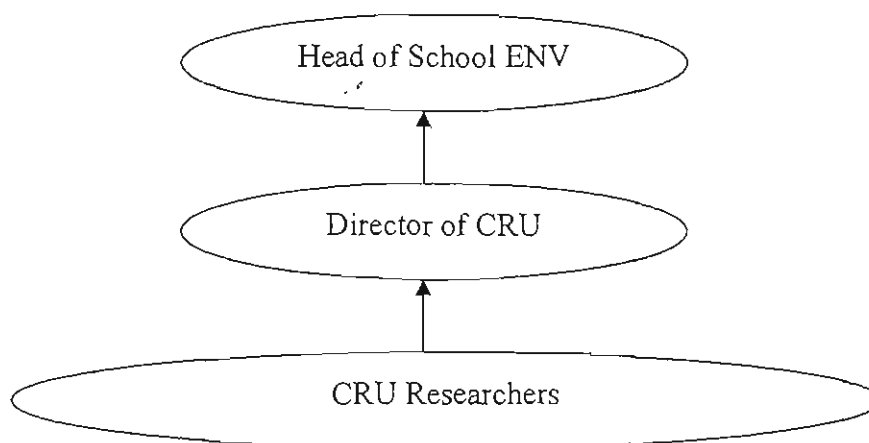
Supporting Document 2

Management of Research Policies and Strategy

Management of Research Policies and Strategy



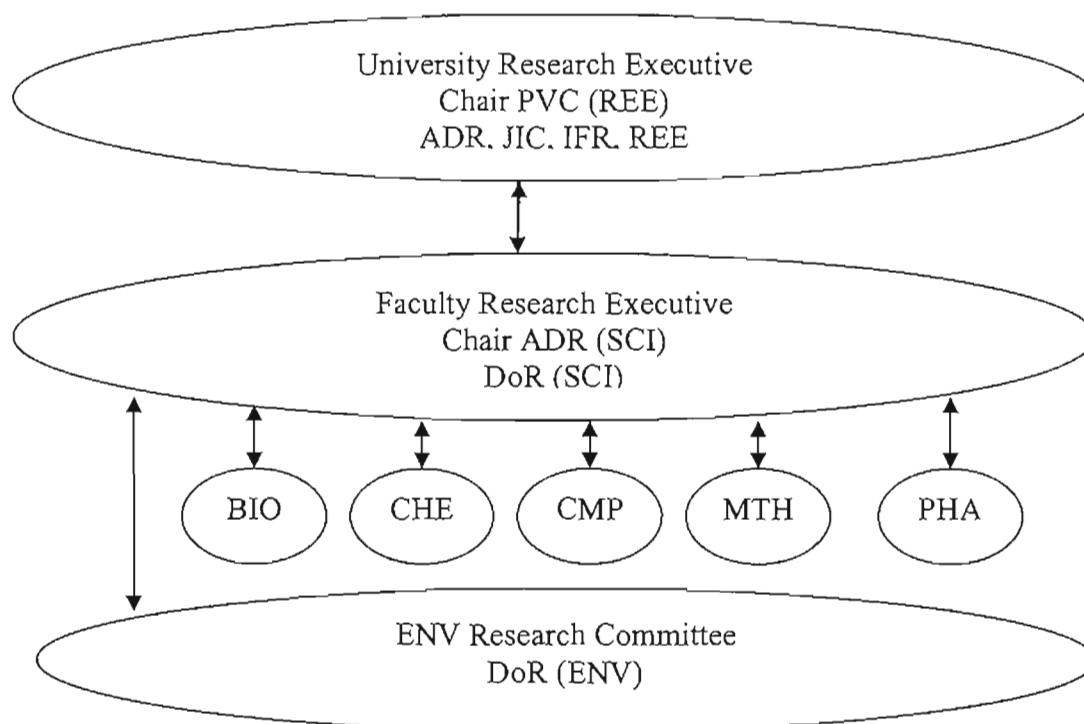
Management of Researchers



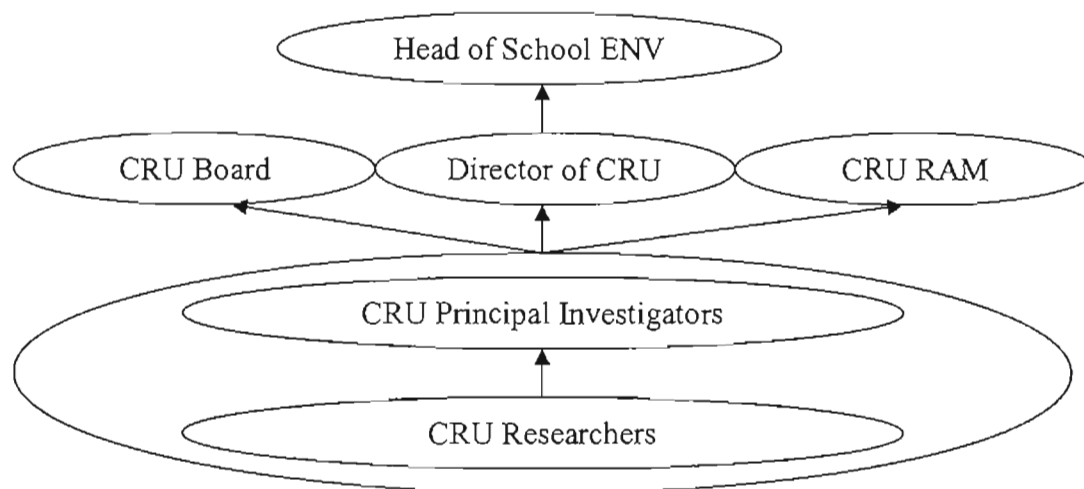
Key to Abbreviations

BIO	Biological Sciences	CHE	Chemistry
CMP	Computing Sciences	MTH	Mathematics
PHA	Pharmacy	ENV	Environmental Sciences
CRU	Climatic Research Unit	ADR	Associate Dean of Research
RD	Research Director	PVC	Pro-Vice Chancellor
SCI	Faculty of Sciences	REE	Research, Enterprise & Engagement

Management of Research Policies and Strategy



Management of Researchers



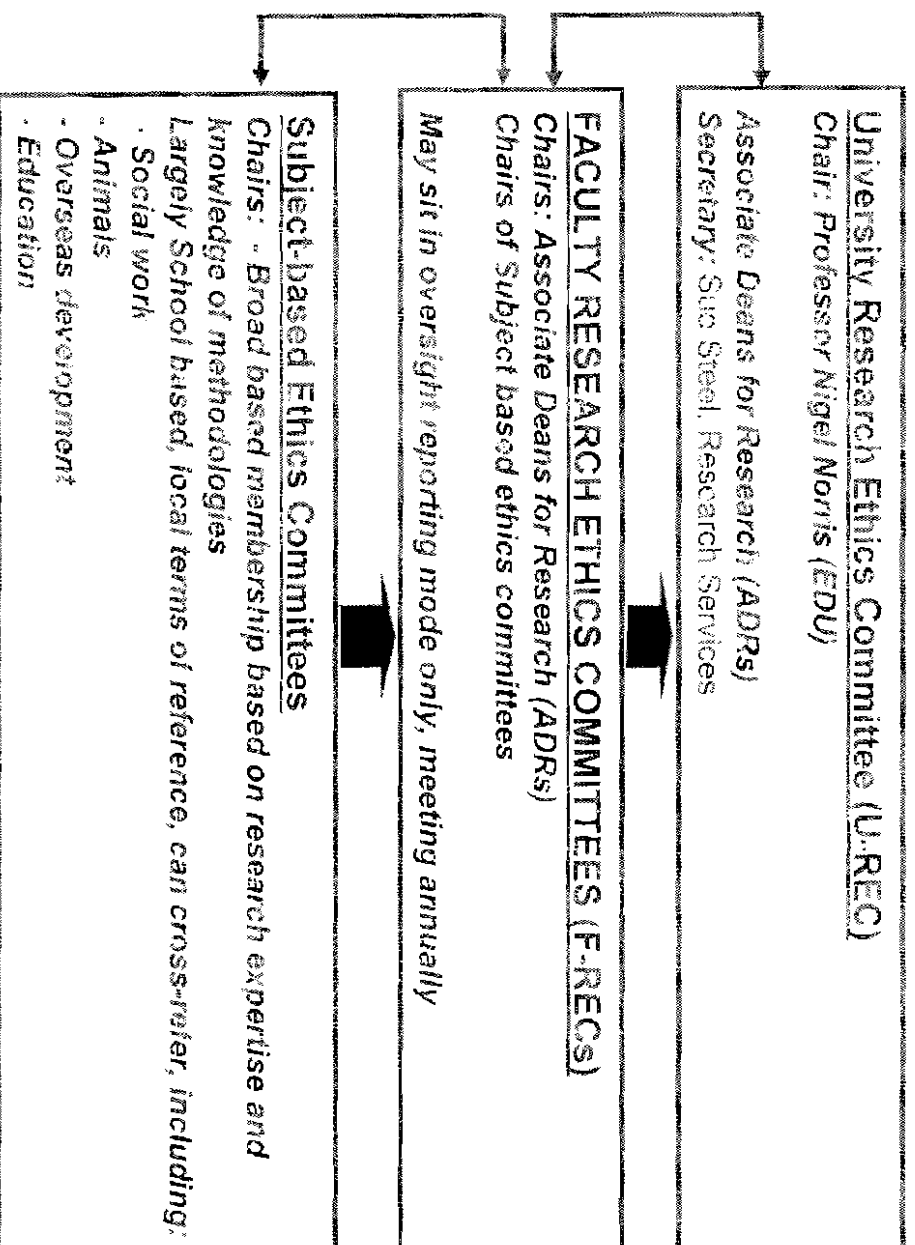
Key to Abbreviations

BIO	Biological Sciences	CHE	Chemistry
CMP	Computing Sciences	MTH	Mathematics
PHA	Pharmacy	ENV	Environmental Sciences
CRU	Climatic Research Unit	ADR	Associate Dean of Research
DoR	Director of Research	PVC	Pro-Vice Chancellor
SCI	Faculty of Sciences	REE	Research, Enterprise & Engagement
JIC	John Innes Centre	IFR	Institute of Food Research
RAM	Research Manager		

Supporting Document 3

Research Ethics Structure

Research Ethics Structure



Supporting Document 4

UEA Research Ethics Policy, Principle and Procedures

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UNIVERSITY OF EAST ANGLIA RESEARCH ETHICS POLICY, PRINCIPLE AND PROCEDURES

1 INTRODUCTION

1.1 OVERVIEW

The 'Research Ethics Policy, Principle and Procedures' (the Policy) has been developed in close consultation with University stakeholders and builds on the 'Framework for Ethical Approval' (approved by Senate in 2004) and existing good practice and local procedures in University Schools, relevant legislation and professional and funding bodies.

The University is committed to advancing and safeguarding high quality academic and ethics standards in all its activities. The Policy should be read in conjunction with other complementary policies, including the University's 'Guidelines on Good Research Practice' and with the University's 'Procedures for dealing with allegations of misconduct in research', as well as specific ethics guidance issued by the University and Faculty Research Ethics Committee and any associated sub-committees.

When undertaking research, researchers are expected to consider and observe ethical principles and the University's mission and values. This policy sets out conditions for establishing the ethics review requirements of a research project.

The Policy was approved by Senate on 23 November 2005 on recommendation of the University's Research Executive. Revisions to the Policy were approved by Senate on 21 June 2006.

1.2 RESEARCH ETHICS

The University uses the 'Research Assessment Exercise' definition of research. The concept of ethics is taken to define systems of moral principles or values, principles of right or good behaviour in relating to others, and the rules and standards of conduct binding together members of a profession. The concept of research ethics marries these two issues together. The concept can cover all types of research, from research involving animals and other living subjects to research involving the environment, and can be used to determine what types of research an organisation will support. The nature and source of funding may also independently play a role in the decision making process. Although ethics should always be a consideration in research, this does not mean that formal ethics approval by the University is always required; ethics approval supports good research practice and is not an end in itself.

Many of the ethical decisions taken at the University concern two broad areas: human participants and animal research. Research involving human participants ("participants") is defined broadly to include research that:

- directly involves people in the research activities, through their physical participation. This may be invasive (eg. surgery) or non-invasive research (e.g. interviews, questionnaires, surveys, observational research) and may require the active or passive involvement of a person;
- indirectly involves people in the research activities, through their provision of or access to personal data and/or tissue;

- involves people on behalf of others (eg. legal guardians of children and the psychologically or physically impaired and supervisors of people under controlled environments (eg. prisoners, school pupils)).

Animal Research is defined as any research involving any non-human animal. This includes research that is regulated by the Animals (Scientific Procedures) Act 1986 as well as research that is not covered by the Act.

Other areas of ethics consideration covered by the Policy include research that involves organisations which may have concerns about disclosure, research which may relate to illegal activities (such as downloading obscene material from the internet) and where the source of funding or other stakeholder in a research project introduces direct or indirect links with unethical activities or which conflict with the University's mission and values.

1.3 APPLICABILITY

The University's Policy is generic and applies to:

- all University researchers (staff and registered students) who are conducting or contributing to research activities either within or outside the University
- all individuals who are not members of the University but who are conducting or contributing to research activities which take place within the University

1.4 GOVERNANCE, RESPONSIBILITY AND OPERATIONAL ARRANGEMENTS

As a condition of their employment, all staff are required to adhere to the policies, rules and procedures of the University. Individual researchers are individually responsible for adhering to the Policy under the leadership of their Head of School, who is ultimately responsible for all activities performed in their School.

The Policy recognises the University's distinct governance, culture and diversity, while supporting the achievement of its collective research objectives. To accommodate this, a two-tier system of approval has been created, with ethics review managed directly by four Faculty Research Ethics Committees (F-RECs) and any constituent subject specific sub-committees, reporting to the University Research Ethics Committee (U-REC). The system is subject to the University's normal decision-making rules and procedures, including conflicts of interest. The Policy applies to all Faculties but is designed to allow a degree of flexibility in recognition of the diverse and dynamic nature of the University research base through the application of minimum terms and conditions, principles and procedures defined by U-REC and set out in the Policy.

1.5 REVIEW

The University Research Ethics Committee (U-REC) will undertake periodic reviews of the Policy and report its key findings and recommendations to the University's Research Executive.

1.6 REFERENCES AND ACKNOWLEDGEMENTS

In informing the development of this policy, a broad range of publicly-available material and resources has been used from government departments, professional bodies and other universities, including:

- Association of Research Ethics Committees
- Council for Industry and Higher Education
- Central Office for Research Ethics Committees (COREC)
- Department of Health
- Higher Education Funding Council
- National Health Service
- Office of Research Integrity
- National Health and Medical Research Council (Australia)
- Research Councils
- Royal Society for the Prevention of Cruelty to Animals
- University of Cardiff
- University of Sheffield
- Universities UK

An electronic copy of this Policy and associated reference material is maintained on the Research and Business Services website: <http://www.uea.ac.uk/rbs/>

2 ETHICS PRINCIPLES FOR RESEARCH

2.1 OVERVIEW

The Ethics Principles for Research provide the strategic framework to realise the Policy and are intended to protect both participants involved in research activities undertaken by University researchers, the researchers themselves and the University. The University's ethics review procedures provide the operational framework (see section 3).

Research undertaken in accordance with recognised research ethics principles constitutes good research practice. The primary responsibility for considering ethics in research lies with the lead researcher, student supervisor or equivalent. Prior to, during and following the completion of research activities, researchers are expected to consider the ethics implications of their research and, depending on its nature, the socio-cultural consequences of it for the participants involved. This should be considered in the context of a range of other potential stakeholders, including fellow researchers, their School and the University, the research funder and the academic profession.

No one should be compelled, or compel others, to undertake or participate in a research activity that conflicts with their own individual ethics principles.

2.2 PRINCIPLES

2.2.1 LEGAL RIGHTS, CONVENTIONS AND SPECIAL POLICIES

People participating in research have, at the very least, all the rights as defined by law (eg. the 'Human Rights Act 1998', the 'Data Protection Act 1998', and relevant European Directives and Conventions).

The United Kingdom is not a signatory of all conventions relevant to research ethics and does have certain opt-outs from specific provisions of ones it does. However, as statements of widely accepted ethics standards, researchers, members of the University's research ethics committees and reviewers may refer to such documents for guidance.

Where organisations involved in the research prescribe special policies in this context which are not necessarily legal requirements, these should be observed, e.g. criminal records checks in hospitals or schools.

2.2.1 SAFETY AND WELLBEING

Researchers have a responsibility to protect participants and colleagues from any harm arising from research. As a general rule, people participating in research should not be exposed to risks that are greater than or additional to those they encounter in their normal lifestyles. If it is expected that harm, unusual discomfort or other negative consequences might occur in the prospective participant's future life as a result of participating the lead researcher must, prior to the person's participation, obtain ethics approval via the University's procedures and the informed consent of any prospective participant.

Depending on the nature of the research, researchers have a responsibility to ask participants about any factors in the research, such as pre-existing medical conditions that might create risks to them if they participate, and they must subsequently be advised of any special action they should take to avoid risk. Before participating, people should be informed of procedures for contacting the lead researcher within a reasonable time period if, following participation, they experience stress, harm or have related concerns.

If, during research activities, a researcher obtains evidence of physical or psychological problems of which a participant is apparently unaware, the researcher has a responsibility to inform the participant if he or she believes that by not doing so the participant's future wellbeing may be endangered. However, if the issue is serious and the researcher is not qualified to offer assistance, then the appropriate source of professional advice should be recommended to the participant.

In general terms, invasive research should only take place where the foreseeable risks to the participants are outweighed by the potential benefits. In exceptional cases, participants may feel they have a right to be harmed, eg. a terminally ill person may choose to participate in a high risk clinical trial.

In the case of non-invasive research methods such as interviews and questionnaires, the content and procedure may be highly sensitive and intrude on a participant's comfort and privacy. The initial judgment on whether or not questions are sensitive and likely to cause harm rests with a lead researcher.

2.2.3 OBTAINING CONSENT

Normally, potential participants in research should give their informed consent prior to participation, and the lead researcher is responsible for obtaining that person's consent. Consent must be given freely and voluntarily and under no circumstances must coercion be used to obtain a person's consent to participate in research. There should be a recognition and consideration of any power differential between the researcher and participant in this context. Wherever possible, and proportionate to the nature of the research activity, an individual's consent should be obtained in writing. Where this is not possible oral consent should be obtained, ideally in the presence of at least one witness.

Prior to participation, researchers should make clear a participant's right to refuse to participate in or to withdraw from the research at any stage, irrespective of whether payment or other inducement has been offered.

2.2.4 INFORMED CONSENT

Informed consent is where a prospective participant, prior to participating in research, is fully informed about all aspects of the research project which might influence their willingness to participate. In addition, the researcher should normally explain all other aspects of the research about which the prospective participants enquire. The basis of this is to provide free and voluntary consent.

2.2.5 CONSENT AND VULNERABLE PARTICIPANTS

Some people participating in research may be more vulnerable to harm than others and this possibility requires special consideration. Where a prospective participant is unable to give informed consent to participate, a legal guardian or other appropriate person may give consent on their behalf. Any relevant legal requirements, conventions or special policies (see Principle 1) should be observed.

2.2.6 CONSENT AND RESEARCH INVOLVING CONCEALMENT

Special consideration is needed in those exceptional circumstances where it may be desirable to avoid bias in participants' responses, by concealing or withholding particular information regarding either the fact they are the subject of research or the aims of the research.

2.2.7 CONSENT AND RESEARCH IN PUBLIC AND WITH GROUPS

Obtaining consent from every individual participating is not always possible nor practical. In such cases, researchers should ensure that:

- such research is only carried out in public contexts;
- where possible approval is sought from relevant authorities;
- appropriate individuals are informed that the research is taking place;
- no details that could identify specific individuals are given in any reports on the research unless reporting on public figures acting in their public capacity;
- particular sensitivity is paid to local cultural values and to the possibility of being perceived as intruding upon or invading the privacy of people who, despite being in an open public space, may feel they are unobserved.

The privacy and psychological wellbeing of people participating must be respected. Every reasonable effort should be made to ensure that members of a group understand they are being observed for research purposes. In such activities, researchers should at least obtain the consent of any group leader or others in positions of responsibility.

2.2.8 ANONYMITY, CONFIDENTIALITY AND DATA PROTECTION

The collection, storage, disclosure and use of research data by researchers must comply with the 1998 Data Protection Act and any subsequent revisions. Researchers must make arrangements to carefully protect the confidentiality of participants. All personal information collected should be considered privileged information and dealt with in such a manner as not to compromise the personal dignity of the participant or to infringe upon their right to privacy.

Before consent is obtained, researchers should inform prospective participants of:

- any potential risks that might mean that the confidentiality or anonymity of personal information may not be guaranteed;
- which individuals and organisations, if any, will be permitted access to personal information and under what circumstances such access will be permitted;
- the purpose for which personal information provided is to be used.

A researcher may not disclose the identity of a person nor disclose any information that could identify that person without having obtained, prior to the person's participation, the person's consent in writing. If it is necessary to identify participants explicitly, then the researchers should explain why this is the case and how confidentiality will be protected.

Researchers should be aware of the risks to anonymity, confidentiality and privacy posed by all kinds of personal information storage and processing which directly identify a person, eg. electronic and paper-based files and communications. Measures to prevent accidental breaches of confidentiality should be taken, and in cases where confidentiality is threatened, relevant records should be destroyed. Provisions for data security at the end of a project must be made.

Further specific guidance is available from the University's Data Protection officer.

2.2.9 ANONYMISATION

Wherever possible data should be collected, stored or handled in anonymous form. Where linkage between datasets is required, record numbers should be used as far as possible with special measures used to protect the key that would link a number to personal identifiers.

2.2.10 ANIMAL RESEARCH

The Animals (Scientific Procedures) Act 1986 regulates any experimental or other scientific procedure applied to a "protected animal" that may have the effect of causing that animal pain, suffering, distress or lasting harm. A procedure so defined by the Act is referred to as a "regulated procedure". The Act defines a "protected animal" as any living vertebrate, other than man. The invertebrate species *Octopus vulgaris* was added by means of the Animals (Scientific Procedures) Act (Amendment) Order 1993. The use of animals in regulated procedures requires a certificate of designation, a project licence and a personal licence. Licences and certificates under the Act are issued by the Home Office to individuals. It is therefore, the individual (not the organisation) who is responsible and accountable to the Home Office for ensuring compliance with the terms and conditions of the licence or certificate.

The use of animals in regulated procedures is governed by the provisions of the Animals (Scientific Procedures) Act 1986 and informed by the "Three Rs": replacement; reduction; and refinement. Those planning research involving regulated procedures should ensure that all legislative requirements are met and consider the following questions:

Replacement

- Reasons why it is considered necessary to use animals *at all* to achieve the objectives of the work, and why non-animal methods or alternative approaches to the scientific questions are considered unsuitable.
- Whether non-animal methods are also used as part of the overall approach to the research or testing objectives, and, if so, how the different methods relate to and build on one another.
- The efforts made to search for replacement alternatives for animal studies.
- If the researcher has to imagine a world in which it was not possible to use animals in research at all, how might they attempt to address the research questions, and what would be the limitations of possible alternative approaches?

Reduction

- The process by which the numbers of animals has been decided, e.g. expert statistical advice.
- Whether expert advice might enable use of fewer animals, yet still provide meaningful results.
- On-going review to evaluate the need for as many animals as first predicted.

Refinement

- Reasons why it is considered necessary to use animals in the *particular ways* detailed in the study, and how the use(s) contribute to the objectives of the work.
- The particular adverse effects that will be, or are being, caused to the animals in the study, including costs caused at any stage from birth to death of the animals, such as those resulting from: choice of species and strain of animal; source and transport of animals; housing and husbandry of animals; effects of procedures used (including how frequently each is performed), and care of the animals before, during and after each; end-points of the procedures; and the fate of the animals at the end of the procedures.
- Whether any of these aspects could be refined, so that harms to the animals are reduced.

Some animal research is not regulated by the Animals (Scientific Procedures) Act 1986. This includes: i) any research involving non-vertebrate species (except *Octopus vulgaris*); and ii) the identification of any non-human animal by ringing, tagging or marking or any other humane procedure that causes only momentary pain or distress and no lasting harm. In general, this research will also be informed by the principles of replacement, reduction, and refinement. For certain purely observational protocols (e.g. bird watching), however, these principles may be less applicable. Before any animal research is undertaken an assessment of the research using the UEA Animal Ethics Information Form should be carried out. This will include an assessment of whether the research involves a regulated procedure and an assessment of the applicability and implementation of the Three Rs.

2.2.11 NHS RESEARCH

The Central Office for Research Ethics Committees (COREC) working on behalf of the Department of Health in England, is responsible for defining the scope and operation of NHS Research Ethics Committees which is recognised by the University as providing an equivalent review to its own (see 3.2.2 Approval routes and recognition of other review bodies).

2.2.12 THE UNIVERSITY'S MISSION AND VALUES

The nature and ethical standing of other stakeholders involved in a research project should be considered in the context of their fit with the University's mission and values, eg. the type of business a funder is engaged in, as opposed to the nature of the research which is being funded. The U-REC will issue and maintain guidance on which stakeholders should not be associated with, or under which circumstances this may proceed, following consultation with relevant areas of the University.

2.2.13 CONFLICTS OF INTEREST

Conflicts of interest arise where an individual may have a pecuniary, family or other personal interest in an activity which a member of the public, knowing the facts of the situation, could reasonably conclude might influence that individual's judgement. The University's standard rules and procedures on dealing with conflicts of interest apply equally to this Policy: any real or potential conflict of interest must be disclosed to the relevant Head of School or Service who will make a decision or refer to another authority as appropriate.

In the specific case of research ethics review, a conflict of interest may arise through links with the funder, such as consultancy, directorships or shareholdings. This may also occur in the course of research ethics approval, such as when a member of one of the University's research ethics committees has an interest in a project under review.

The existence of a conflict of interest does not inevitably mean a researcher or member of a committee must be excluded. In all cases, however, any real or potential conflicts of interest must be fully disclosed on the ethics review application or to the chair of the committee respectively; it is left to the judgement of the committee or chair to take any necessary precautions to remove the conflict of interest.

Where a conflict of interest arises after approval, the case should be referred to the relevant committee for re-approval.

3 THE UNIVERSITY'S ETHICS REVIEW PROCEDURES

3.1 OVERVIEW

The University's Ethics Review Procedures ("Procedures") provide the operational framework for the Policy and Principles. All University members of staff and University-registered students (ie. postgraduate research, postgraduate taught and undergraduate students) who plan to undertake research that falls under the scope of the Ethics Principles in the Policy must obtain ethics approval for the planned research prior to the involvement of the participants via the appropriate ethics review procedure. The Procedures also apply to all individuals who are performing research which is funded or managed by the University, be this on or off University premises.

The Procedures operate to protect participants in research, the researchers themselves and the University and are designed to ensure that, as a minimum, every University researcher and academic School has access to a University recognised ethics review mechanism that is sufficiently flexible to accommodate the diverse

research interests and needs of academic Schools while sufficiently coherent in design and operation to ensure corporate consistency.

3.2 ETHICS REVIEW PROCEDURES

3.2.1 SCOPE

All research proposals must be screened to determine whether or not formal ethical approval is required. If research plans alter, review may have to be requested during the course of the research.

The individual researcher is ultimately responsible for a research project's ethical aspects. The initial responsibility for deciding whether or not ethical approval is required lies with the principal investigator or the supervisor of a student project in consultation with the student. This decision is subject to endorsement by the Head of School and may be reviewed at a later stage.

Research activities put forward for formal ethical review:

- require ethics approval prior to commencement of the research activities;
- cannot continue if ethics approval has been withdrawn or suspended;
- may have to request review during the course of the research if the research plan alters;
- must comply with the conditions set by the University or other recognised body.

3.2.2 APPROVAL ROUTES AND RECOGNITION OF OTHER REVIEW BODIES

There are two primary routes through which to apply for ethics approval:

- the University's ethics review procedure; or
- the NHS ethics review procedure or other recognised body.

In principle, the Policy seeks to avoid multiple reviews of the same research project by separate bodies through recognising the reviews of other bodies. The recognition of another body is at the sole discretion of U-REC on behalf of the University, and these will be notified in guidance to F-RECs as and when they occur.

The University recognises the NHS's ethics review procedure as equivalent to its own; where a proposal is reviewed by the NHS, a University review is not required.

Should an applicant plan to seek ethics review via an alternative procedure (eg. via an ethics review procedure from, for example, another University or overseas body) in the first instance, contact should be made with the F-REC for advice. This will then be referred to the U-REC with a recommendation for a final decision.

3.2.3 THE UNIVERSITY'S ETHICS REVIEW PROCEDURE

F-RECs approve as submitted, approve subject to specified conditions, or reject research proposals conducted by the University's staff and students on the basis of the Policy and Principles and the minimum terms of reference defined by the U-REC (see Annex 1). The U-REC also defines the minimum requirements for documentation to be used by F-RECs. F-RECs may exercise considerable flexibility and discretion in meeting these minimum terms of reference to best serve local needs.

Within its broader interdisciplinary scope, which includes any ethical issue raised by members of staff and students, each F-REC may have specialist areas of concern and deal with them through subject specific sub-committees. F-RECs may cross-refer cases to another Faculty where a particular specialism is covered by another F-REC. Where they exist, much of the ethics review business within the scope an F-REC is likely to take place within specialist sub-committees, with the F-RECs taking an oversight and management role.

Research involving biological hazards and/or genetic manipulation must also be considered by the Biological Hazards and Genetic Manipulation Sub-Committee which reports to the Health and Safety Advisory Committee.

3.2.4 UNIVERSITY RESEARCH ETHICS COMMITTEE (U-REC)

The University Research Ethics Committee defines the University's Policy and operational principles which are applied by F-RECs. The minimum terms of reference for U-REC can be found at Annex 2.

3.2.5 FORMS OF ETHICS REVIEW AND ASSESSMENT OF RISK

The form of ethics review is determined by an assessment of the potential risk associated with the research and the complexity of the ethical issues raised by the research proposal. Complexity here is defined by the need for diverse perspectives in order to reach a robust decision. Where minimal risk is involved and the level of complexity is low, expedited review may be undertaken. Any funder or regulatory requirements for the form of review shall be observed. Guidance on the assessment of risk and complexity is provided by F-RECs, subject to U-REC approval.

3.2.6 MONITORING OF UNIVERSITY ETHICS REVIEW PROCEDURES

The U-REC has the authority to monitor the performance of the F-RECs as and when required and, as a minimum, will receive an annual report from each F-REC on key activities and findings over the preceding year.

Annex 1: Minimum Terms of Reference for Faculty Research Ethics Committees (F-RECs)

Faculty Research Ethics Committees (F-RECs) approve as submitted, approve subject to specified conditions or reject research proposals on the basis of the University's Research Ethics Policy, and principles and procedures defined within it. F-RECs may also withdraw or suspend approval of an ongoing research project due to serious concerns regarding its ethical aspects. F-RECs also provide guidance and advice on ethical issues to those undertaking research. F-RECs do not make decisions about the quality of the research itself.

F-RECs may exercise considerable flexibility and discretion in meeting these minimum terms of reference to best serve local needs.

1. The full membership of each F-REC or subject-based sub-committee is as follows.
 - A Chair: Associate Dean for Research or deputy
 - A Deputy Chair drawn from a School other than that of the Chair
 - At least one academic member from Schools of the Faculty which collectively provides a broad base of research experience and methodological expertise in the areas of research
 - A lay member drawn as appropriate from the University's pool of volunteers
 - At least one male and one female member
 - At least one member with experience of managing ethical issues
 - Individuals seconded for their experience or specific methodological expertise, relevant to the research being reviewedAll members need not be involved in every review. Quoracy for decision-making purposes is determined by the form of ethics review.
2. An F-REC may handle all ethics reviews itself or may create subject-based sub-committees to perform ethics reviews on its behalf. In the latter case, an F-REC may sit exclusively in an oversight and management role of such sub-committees.
3. The Chair may appoint deputies to cover periods of absence, conflicts of interest or to chair sub-committees. The Chair of the F-REC or of any sub-committee may not take decisions alone on cases where there is clear potential for conflict of interest or such a restriction is a condition of the potential funder. The F-REC Chair is a member of the University Research Ethics Committee (U-REC).
4. The Chair of the F-REC or sub-committee will conduct an initial screening of any proposal submitted for ethics approval. The screening will determine the level of risk and complexity, which will determine which form of review will be applied. Forms of review are determined by F-RECs and operated after endorsement by U-REC. The task of screening may be delegated, but screening decisions are the ultimate responsibility of the Chair.
5. In the case of a taught student project (but not a research student project), the Chair of the F-REC or sub-committee may delegate responsibility for assessment to the course or programme director, but approval cannot be granted by the director alone.
6. Expedited review may be undertaken where the complexity of the case is judged to be low and the risk minimal. The ethical approval process may be handled through Chair's Action, taking account of the potential for conflict of interest, or

may be conducted by a subset of the full F-REC or sub-committee membership. In all other cases, the full F-REC or sub-committee membership must be involved in the decision-making process.

7. The F-REC and any sub-committees may perform their work in a virtual environment. A meeting of the full membership of the F-REC in person will take place at least once a year.
8. The F-REC or sub-committee may either co-opt members from other F-RECs or refer applications to another where a broader research experience or methodological expertise is required. Where there is any doubt about the competence of an F-REC make a decision, this will be referred to the U-REC which will give definitive advice.
9. Each F-REC will have an appeal option. A final appeal may be made direct to the U-REC, which will make a definitive decision.
10. Minutes of meetings will be kept and standard documentation on decisions and guidance as approved by the U-REC will be used. Copies will be kept locally which will meet any audit or monitoring requirements, and a summary report on all ethics decisions will be supplied annually to the U-REC.
11. On approval by U-REC, F-RECs may recognise an external ethics approval body as equivalent to the University's to avoid unnecessary repeat reviews.
12. Each F-REC will keep a watching brief on any new statutory or professional responsibility that may affect its work and make changes as appropriate, with the relevant approval by the U-REC.
13. Each F-REC will submit the following for approval to the U-REC on an annual basis:
 - its own specific terms of reference based on these minimum requirements;
 - committee membership, including the scope of research experience and methodological expertise within the F-REC and any sub-committees;
 - a set of questions concerning the nature of the research that will provide guidance to staff and students with regard to whether or not ethical approval may be required in a particular case;
 - a statement setting out the criteria for expedited review and the forms of review that may be undertaken;
 - details of procedures, including forms, for a) submitting applications, b) expedited review of proposals, c) full review of proposals and d) appeals, including likely frequency of meetings and deadlines, where they exist; and,
 - plans for training and awareness-raising.
14. Each F-REC will ensure members have appropriate up-to-date training and information on ethics issues, to include:
 - the University's Research Ethics Policy and associated guidance; and,
 - establishment and maintenance of a web site of links to specialist sources of information on ethics linked to the U-REC's website.

In addition, the F-REC will:

- lead and contribute to awareness raising and staff development events; and,

- liaise with the U-REC, other F-RECs or specialist committees within the University or without, e.g. NHS Research Ethics Committee.
15. In conjunction with the U-REC, each Committee will ensure staff and students are aware of the University's ethics approval requirements.
16. Each F-REC will make an annual report to the U-REC that summarises all activities taken in connection with these terms of reference, including a summary report on all ethics decisions taken during the year and general issues raised during the F-REC's work.

Annex 2: Terms of reference for the University Research Ethics Committee (U-REC)

The University Research Ethics Committee (U-REC) defines the University's ethics policy and operational principles which are applied by Faculty Research Ethics Committees (F-RECs).

1. The membership is as follows:

- A Chair: appointed by Research Executive
- The Chairs of F-RECs
- The University's Data Protection officer
- At least one male and one female member
- Co-opted members as required

2. U-REC meets at least annually to receive reports of the F-RECs and to prepare an annual combined report to the Research Executive.

3. U-REC may meet on an extraordinary basis as circumstances dictate to ensure the F-RECs are able to meet their minimal terms of reference, including:

- approval of recommendations for the recognition of external ethics review bodies;
- approval of recommendations for the classification of research as low risk for the purposes of expedited review;
- hearing appeals against decisions made by F-RECs;
- providing definitive guidance on problematic cases or interpretations of ethics review requirements;
- reviewing statements made by Schools on use of ethics committees in light of changing research activity profiles; and,
- considering any new statutory or professional responsibility and advising the relevant Committees or Officers of the University accordingly on the implementation of that responsibility.

4. U-REC identifies areas of best practice and disseminates these across the University. It is responsible for identifying and responding to strategic developments both within and without the University. It may also instigate periodic audits of F-RECs where there are any causes for concern, eg. adherence to minimum terms of reference.

5. U-REC approves core documentation used by F-RECs for reviewing research proposals.

6. U-REC is responsible for the development and review of the Ethics Policy, principles and procedures

Supporting Document 5

UEA Guidelines of Good Practice in Research – 2009

UNIVERSITY OF EAST ANGLIA GUIDELINES ON GOOD PRACTICE IN RESEARCH

Foreword by PVC for Research, Enterprise and Engagement:

As a University committed to excellence in the quality of the research our staff undertake, it is appropriate to have a document such as this which provides guidelines on good practice in research.

The following guidelines serve both as a means of developing and supporting a culture of good practice in research and as a means of demonstrating to the organisations we work with that UEA is committed to a culture and environment where high standards of personal and professional conduct are encouraged and expected.

There is something in these guidelines for everyone to reflect on during the course of their research: new and experienced researchers, staff and research students and scientific and arts and social sciences disciplines alike.

I recommend these guidelines to you whatever your role in the conduct of research at UEA. Should you have any comments on the development of these guidelines, I would be pleased to receive them.

Professor Trevor Davies
November 2009

GUIDELINES ON GOOD PRACTICE IN RESEARCH

The Principles of Good Research Practice

Introduction

1. Honesty, openness, accountability and integrity are vital qualities for any academic researcher no matter what their discipline or level of experience. The University of East Anglia needs to ensure that all research it supports is carried out in a climate where high standards of personal conduct are encouraged and expected. The University expects all staff and postgraduate research students engaged in research to act with the highest standards of integrity irrespective of the source from which their posts or research is funded.

2. This document provides guidelines on the issues involved in the proper conduct of research, and on the standards expected. Whilst detailed aspects of these guidelines are more applicable to some subject areas or groups of people than others, the principles of good research practice are relevant to all subject areas.

3. This document is intended for:

- Academic, research and relevant support staff employed by the University, and other individuals carrying out research at, or on behalf of, the University
- Postgraduate research students and their supervisors
- Any persons with honorary positions conducting research within, or on behalf of, the University

4. The term researchers has been used throughout this document to refer collectively to the above groups of people. The term research has been used throughout this document to refer to all aspects of the research process including outlining or drawing up a hypothesis, preparing applications for funding, protocol design, generating data, data recording and analysis, writing-up and publishing and other forms of disseminating results.

Principles of Good Research Practice

5. It is important that a culture of honesty, integrity, openness and accountability in research be fostered and maintained. The University cannot be prescriptive about approaches taken by individuals to solving particular research problems. However, in the conduct of all research, the University expects the following general principles to be understood and observed by all researchers:

- Maintaining open and honest professional standards;
- Ensuring leadership, organisation and cooperation in research groupings;
- Taking special account of the needs of inexperienced researchers;
- Planning and conducting research in accordance with the requirements of funders and the University and all relevant legal procedures;
- Documenting fully results and any research material used, questioning one's own findings and acknowledging honestly the contribution of others;
- Ensuring data is stored and disposed of in an appropriate and responsible manner
- Ensuring the results of the research are disseminated widely
- Taking appropriate measures to protect intellectual assets
- Following best current professional, clinical and ethical practice.

Management of Good Research Practice

Professional Standards

6. Honesty. At the heart of all research, regardless of discipline or institution, is the need for researchers to be honest in respect of their own actions in research and in their responses to the actions of other researchers. This applies to all aspects of the research process.

7. Openness. While recognising the need for researchers to protect their own research interests in the process of planning their research and obtaining their results, the University encourages researchers to be as open as possible in discussing their work with other researchers within and outside the University and with the public. Researchers should contact the Enterprise and Commercialisation Team, within the Research Enterprise & Engagement Office (REE) for advice on releasing results that might affect the potential to protect the research at a later date. Once results have been published, researchers should make available relevant data and materials to others on request for appropriate purposes.

8. Accountability. Researchers, and in particular those named as principal investigators or grantholders, must ensure that the research that they are undertaking is consistent with the terms and conditions covered by agreements between the University and the funder. This includes, but is not restricted to, ensuring that the research programme carried out is as defined in the original proposal to the funder, unless amendments have been agreed in writing; that the finance is used solely for the research purpose that it was intended; that reports are both accurate and produced on time; and that conditions relating to publication and ownership of Intellectual Property are adhered to.

9. Integrity. Researchers must be honest about conflict of interest issues, whether real, potential or perceived, at the earliest opportunity and at all stages of research, e.g. when applying for funding, when identifying collaborators and when reporting results. Plagiarism, deception or the fabrication or falsification of results is regarded as a serious disciplinary offence. All researchers are encouraged to report cases of suspected misconduct or malpractice and to do so in a responsible and appropriate manner in accordance with the University's procedures for dealing with misconduct in research and for disclosing concerns about malpractice.

Leadership and Organisation in Research Groupings

10. Within the University, it is the responsibility of the Vice-Chancellor, Pro-Vice-Chancellors, and Heads of Schools to ensure that a climate is created which allows research to be conducted in accordance with good research practice.

11. Within a research grouping, responsibility lies with the Group Leader/Research Co-ordinator. Where there are no research groupings, the responsibilities of Group Leader shall fall to the Head of School (and may be delegated to a nominee such as the Chair of a relevant Committee). Group Leaders should create a research environment of mutual cooperation, in which all members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered. They must also ensure that appropriate direction of research and supervision of researchers is provided which in the case of Postgraduate Research Students should comply with University and National codes of practice. Responsibilities in conducting research should be clearly allocated and understood.

The Needs of New Researchers

12. Researchers who are new to the academic community may face particular difficulties. Responsibility for ensuring that new researchers understand good research practice lies with all members of the community, but particularly with Group Leaders, or Heads of School where there are no Group Leaders or equivalent. Good practice includes the induction of researchers to their new environment and the relevant School and University procedures.

Training and Supervision of Researchers

13. All researchers should receive good supervision appropriate to their experience. Researchers should not be put under unwarranted pressure to produce results. Supervision should include all relevant stages of the research process. Group Leaders, or Heads of Schools where there are no Group Leaders or equivalents, are responsible for ensuring that all new researchers undertake appropriate training in accordance with their specific requirements and the University's Code of Practice on Equal Opportunities in Employment. Training in supervisory skills should be provided where appropriate. Particular requirements apply in the case of postgraduate research students and are set out in the "Guide to Good Supervisory Practice" and in the "Code of Practice: Assuring the Quality of Research Degrees".

Planning and Conducting Research

14. In applying for external funding, researchers should take all reasonable measures to ensure accuracy of information and compliance with University procedures.

15. Purchasing and expenditure of funds should be in accordance with the terms and conditions of any grant or contract held for the research and the University financial regulations. The financial regulations are available on the Finance Intranet pages. Any further guidance on compliance with the financial regulations should be sought from the Finance Division.

16. Researchers need to establish whether ethical approval is likely to be needed for a research project in accordance with the University's Research Ethics Policy and associated guidance which are available on the Research Enterprise & Engagement Office (REE) intranet.

17. All research including the appointment of researchers must be carried out in a manner that complies with the University's Code of Practice on Equal Opportunities in Employment, the Concordat on Career Management of Contract Research Staff, the Health and Safety at Work Act (1974) and the Safety Regulations approved under this Act, the University's safety policies, the University's safety rules and other University safety management documents. School safety policies and handbooks should detail local safety rules that must also be followed. Advice on health and safety issues should be sought from School Safety Advisers or the University Safety

Services.

18. All members of research groupings should be made aware of the:

- Legal and ethical requirements relating to human participants, animals and personal information
- Requirements on confidentiality of data and publication
- Appropriate methods of record keeping, data storage and disposal relevant to the discipline
- The importance of recognising and reporting unforeseen results or incidents
- All other relevant guidance, codes of practice and regulations related to their work

Research Results

The Need for a Critical Approach

20. Researchers should always be prepared to question the outcome of their research. The University expects all research results to be checked before being made public. It is important that research ideas can be challenged and tested once published.

21. It is important that researchers or research groupings should not become subject to other pressures such that the normal processes of research inquiry cannot be enforced, e.g. by constraints imposed by the source of funding of the research. Any pressure to produce results that suit the specific interests of a funder must, of course, be resisted. This is particularly the case where the individual researcher(s) could be perceived to have a conflict of interest, e.g. where they might have an equity share in the funder, or may hold a position (e.g. Director) or be involved in consultancy with the funder. Any such conflict of interest, whether real, potential or perceived, should be disclosed at the earliest opportunity to the Head of the School (or other equivalent senior officer in non-School units) or to the Pro-Vice-Chancellor if the office holder is involved.

Documenting Results

22. Throughout their work researchers should keep clear and accurate records of the procedures followed, of the sources of research material where archives, collections etc. are researched and of the results obtained, including interim results. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about the conduct of the research, the results obtained or ownership of the data or results. Proper documenting and storage procedures will minimise cases of allegations of research misconduct where original data 'have disappeared' or allegedly been lost or cannot be replicated.

23. It is the duty of the researcher to comply with the regulations of the Data Protection Act currently in force and to ensure that copyright, a third party's intellectual property rights and confidentiality are not breached. The Data Protection Act applies to research that involves personal data collected about living individuals and requires that such data should not be used for purposes other than those for which it was collected. Advice on compliance with the Data Protection Act should be sought from the University's Data Protection Officer.

24. In cases where transcripts of interviews are the basis for research, these should be kept as confidential according to the procedures in place when the data was collected. In clinical studies, consent forms should be kept securely with the raw data and normally for the same period of time. In social sciences and humanities research, any sources (e.g. other published works, archives, collections) should be accurately recorded and any transcription or data archive rules recorded at the start of the project to ensure consistency. The keeping and maintenance of laboratory notebooks, and other data sources, can also help to ensure that intellectual property can be protected.

Storage and Disposal of Data

25. Primary data which is the basis for publications should be securely stored for an appropriate time in a durable form. The means of data storage (paper, diskette, CD-ROM, etc) should be appropriate to the task. Provision should be made for the automatic back-up of data or software stored on a computer and special attention should be paid to guaranteeing the security of electronic data, use of computer hard drives and networks may not necessarily provide the security of data required.

26. The appropriate period for retaining data depends on circumstances (e.g. in some fields, the importance and relevance of data can be superseded very rapidly). Equally, where the research is externally funded, the time for keeping data may be specified by the funder. The appropriate timescales and mode of data storage and the process for review in the light of changing technology should be confirmed in writing at the outset of the research programme.

27. Disposal of data and samples should be carried out in accordance with the appropriate internal or external procedures according to the nature of the research data and any ethics committee requirements.

Publishing Results

28. The issue of authorship is important in the context of good research practice, and the University expects the matter to be taken seriously. The University expects anyone listed as an author on a paper to accept personal responsibility for ensuring that they are familiar with the contents of the paper.

29. In order to ensure a high standard of publication, researchers should seek an appropriate form of peer review prior to publication.

30. If an error is found that diminishes the worth of the published results, the researcher should discuss the matter with the lead researcher and notify any co-authors. A correction should be published as soon as possible setting out the basis of the reservation. Where the findings are found to be in serious doubt, a retraction should be published speedily.

31. The standard position of the University is that research should be published when appropriate and wherever possible. This is a necessary adjunct to making research available to the public and is frequently a condition imposed by funders. Delays in publication should be avoided except, for example, in relation to proprietary information of the University or the funder incorporated in the research results or where journals require amendments or modifications. Where the University and/or the funder wish to secure patent protection for inventions made in the course of the research, short delays in publishing are acceptable to allow patents to be filed, but these delays should be limited to a maximum of 90 days wherever possible. Access to a thesis may be restricted for up to three years in accordance with the Consultation and Borrowing of Theses set out in the University calendar.

Acknowledging the Role of Collaborators and Other Participants

32. Any person who participates in a substantial way in conceiving, executing or interpreting a significant part of the relevant research should be given the opportunity to be included as an author of a publication derived from that research. The practice of honorary authorship is unacceptable, i.e. only those who have participated in the research should be listed. The contributions of formal collaborators and all others who directly assist or indirectly support the research should also be properly acknowledged. This applies to any circumstances in which statements about the research are made, including provision of information about the nature and process of the research, and in publishing the outcome. Where appropriate, the funders of the research should be acknowledged.

Exploitation and Protection of Intellectual Assets

33. The University recognises there are instances where the potential for exploiting intellectual property (IP) generated by research is important both to improve economic competitiveness and to generate revenue. The potential to exploit IP should be considered at the application and contract stages and certainly before data are submitted for publication or presented in any other public forum including the internet.

34. The ownership, protection and exploitation of IP is governed by the University's Intellectual Property Regulations published in the calendar. The advice of the Enterprise and Commercialisation Team, within the Research Enterprise & Engagement Office (REE) should be sought in all instances where a potential to exploit IP generated by the University is identified or where data or resources belonging to another organisation are required to conduct the research.

Professional, Clinical and Ethical Practice

35. The standards of scientific practice set out in guidelines published by scientific societies and other relevant professional bodies should be observed by researchers.

36. Researchers involved in clinical research must comply with the current Good Clinical Practice Guidelines published by the International Conference on Harmonisation. Particular attention should be given to:

- Maintenance of confidentiality
- Informed consent
- The allocation and agreement of responsibilities for designing, managing, financing, conducting and analysing the research
- Noting serious adverse events or serious drug reactions
- Seeking appropriate NHS Research Ethics Committee approval, NHS Research Governance approval and/or independent review

37. Research must only be carried out when all the necessary approvals, notifications and licences required by University Committees and legislation, through national and local regulatory bodies, are in place. The Group Leader (or Head of School) should ensure that the appropriate approvals are identified, obtained and documented prior to the start of the research.

38. These are the minimum standards expected of researchers and do not override or replace any professional codes or practices, or those codes or practices governing the terms of any external funding received by researchers to carry out their research work, which must be followed in addition to these guidelines.

Misconduct

39. The University takes seriously any allegation of research misconduct and has a written procedure for investigating and resolving any such allegations. Any member of the University who believes that an act of research misconduct has occurred or is occurring should notify the Head of the School (or other equivalent senior office in non-School units) or his/her deputy if the office holder is involved in the allegation, in the first instance in accordance with the Procedures for Dealing with Allegations of Misconduct in Research.

Other References

Internal Documents

- UEA's Research Ethics Policy
- UEA Policy on Intellectual Property
- University Calendar
- Procedures for Dealing with Allegations of Misconduct in Research
- Code of Practice: Assuring the Quality of Research Degrees
- Health and Safety Responsibilities of Supervisors Towards Postgraduate and Undergraduate Students
- Code of Practice on Equal Opportunities in Employment
- Financial Regulations
- Public Interest Disclosure: A Procedure for Staff to Raise Concerns About Malpractice
- Consultation and Borrowing of Theses, University Calendar

External Information

- RCUK Policy and Code of Conduct on the Governance of Good Research Conduct
- UKRIO Code of Practice for Research
- Research Governance Framework for Health and Social Care, Department of Health
- Good Clinical Practice Guidelines, International Conference on Harmonisation
- EU Clinical Trials Directive (2001/20/EC)
- Office of Research Integrity
- Nolan Committee on Standards in Public Life
- Research Councils Joint Statement on Safeguarding Good Scientific Practice
- Arts and Humanities Data Services, Guides for Good Practice
- Central Office of Research Ethics Committee (COREC)

In formulating these guidelines, the University has been informed by:

- Code of Good Practice in Research, University of Edinburgh
- Code of Good Practice in Research, University of Glasgow
- Good Research Practice, Medical Research Council
- Good Clinical Practice Research Guidelines, The Wellcome Trust Clinical Research Facility at the Queen Elizabeth Hospital, Birmingham
- Code on Good Research Practice, University of Surrey
- Guidelines on Good Research Practice, The Wellcome Trust
- BBSRC Statement on Safeguarding Good Scientific Practice
- Association of Medical Research Charities, Guidelines on Good Research Practice
- Policy and Guidelines for Conflicts of Interest, University College London
- Guidelines on Good Practice in Academic Research, Kings College London

University of East Anglia, July 2003 (updated April 2006 and November 2009)

Supporting Document 6

UEA Procedures for Dealing with Allegation of Misconduct in Research

**UNIVERSITY OF EAST ANGLIA
PROCEDURES FOR DEALING WITH ALLEGATIONS OF MISCONDUCT
IN RESEARCH**

1. PREAMBLE

- 1.1 These Procedures outline the action to be taken when allegations of misconduct in research are brought against any present or past student or member of staff of the University in respect of research undertaken while registered with or employed by the University.
- 1.2 In this context, the term misconduct in research means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific communities for proposing, conducting or reporting research. It specifically encompasses the following:
- (i) Piracy - the deliberate exploitation of ideas from others without acknowledgement.
 - (ii) Plagiarism - the copying of ideas, data or text (or various combinations of the three) without permission or acknowledgement.
 - (iii) Fraud - deliberate deception, usually involving the invention of data.

It does not include honest error or honest differences in interpretations or judgements of data.

2. PRINCIPLES

- 2.1 Since an allegation of misconduct in research is a serious and potentially defamatory action and could lead to a threat (or even the instigation) of legal proceedings, the operation of these Procedures shall accord with the following:
- 2.1.1 All allegations of misconduct in research shall be treated seriously and fairly and their merit investigated with integrity and with sensitivity.
- 2.1.2 In all enquiries and in any action taken as a result of their outcome, due regard shall be had to the need:
- (i) to protect researchers against malicious, frivolous or ill-founded allegations of misconduct in research.
 - (ii) to protect the position and reputation of those alleged to have engaged in misconduct in research when such allegations are not confirmed.
 - (iii) to protect the position and reputation of those who make allegations of misconduct in research in good faith, ie. with the honest belief that misconduct in research may have occurred.

- (iv) to observe the principle of non-detriment, ie. neither the person making the allegation of misconduct in research ("the Complainant") nor the person against whom such an allegation is made ("the Respondent") should suffer solely as a consequence of the fact that a good faith allegation has been made.

2.1.3 Accordingly:

- (i) all enquiries (including the formal investigation - if any) shall be conducted on the basis of confidentiality to the strictest extent possible without compromising health and safety or the appropriate and thorough investigation of the allegation of misconduct in research.
- (ii) the institution shall throughout take all reasonable measures to preserve the anonymity of the Complainant.
- (iii) the principles of natural justice shall be observed, that is to say the Respondent shall be fully informed about what he or she has to answer and shall have the fullest opportunity to reply. The Respondent may be helped and accompanied by a person of his or her choice at any stage of proceedings.
- (iv) those making enquiries shall endeavour to conduct them so as to retain the confidence of both the Complainant and the Respondent.

3. RECEIPTS OF ALLEGATIONS: SCREENING

- 3.1 Any allegation of misconduct in research must be made in writing by the Complainant to the Head of the School (or other equivalent senior office in non-School units) or to his/her deputy if the office holder is the Complainant or the Respondent. The Complainant must provide a detailed written statement in support of the allegation before any enquires are instigated.
- 3.2 On receipt of the Complainant's written statement there shall be a preliminary evaluation of the available evidence ("Screening") to decide whether a formal investigation of possible misconduct in research is warranted. The Screening shall be undertaken by the Head of School and the Chair of the School Research Committee (where this exists) or such other person as may have been appointed for the purpose by the Head of School or the governing body of the unit concerned ("the Screeners"), excepting in circumstances where:
 - (i) the Head of School or other nominated Screener is also the Complainant or the Respondent,
 - or (ii) either Screener considers there to be a real or apparent conflict of interest in which case the recipient of the allegation of misconduct in research shall ensure that the initial referral is passed to the Registrar

and Secretary, who shall request the Pro-Vice-Chancellor with responsibility for research to appoint (an) alternative Screener(s) of appropriate expertise and seniority. The Screeners shall in any event notify the Registrar and Secretary and the Pro-Vice-Chancellor with responsibility for research in writing and in confidence of the receipt and nature of the allegation.

3.3 The Screeners shall consider the evidence available and, if considering that:

- (i) there is insufficient information to make a decision on how to proceed,
- and/or (ii) they require the contribution of additional expertise in order to conclude an evaluation.

they shall be free to seek confidential advice in writing from experts in the relevant subject both within the University and outside it but in so doing they shall at this stage make no information available which could lead to the identification of the Complainant or the Respondent. If they consider it appropriate, the Screeners shall also be free to consult in confidence with the Pro-Vice-Chancellor with responsibility for research in the course of their evaluation.

3.4 At the conclusion of their evaluation of the evidence but before finalising a written record, the Screeners shall in confidence:

- (i) inform the Respondent in writing of the nature of the allegation of misconduct in research and of the results of their evaluation, taking care not to disclose the identity of the Complainant.
- (ii) invite the Respondent to make any written comments within ten working days.
- (iii) if proposing a course of action as in 3.5.2 or 3.5.3 below, specifically give the Respondent the opportunity to explain in writing any inconsistencies or irregularities which may have become apparent from the receipt and Screening of the allegation of misconduct in research.
- (iv) take into account any comments received.

3.5 Subsequent to the above, the Screeners shall decide upon one of the following three courses of action:

- 3.5.1 They may consider the allegation of misconduct in research to be unfounded, either because it is mistaken, or is frivolous or is otherwise without substance, in which case they must dismiss it. If deeming the allegation to be malicious, the Screeners shall, having dismissed the complaint, so inform the Registrar and Secretary, who may invoke appropriate disciplinary action against the Complainant.
- 3.5.2 They may consider that there is some substance in the allegation of misconduct in research but that the matter does not warrant a formal

investigation, in which event they shall decide what action if any is required to put the matter right in so far as is possible.

3.5.3 They may consider that there is sufficient substance in the allegation of misconduct in research to instigate a formal investigation of the complaint.

3.6 The Screeners shall make a confidential written record of their evaluation and decisions and shall lodge it with the Registrar and Secretary together with:

- (i) any documentation used in the investigation.
- (ii) any written comments received from the Respondent.

3.7 The Registrar and Secretary shall:

- (i) notify both the Complainant and the Respondent in writing of the Screeners' decisions, enclosing for each a summary of the Screeners' findings.
- (ii) take any administrative actions that may be immediately necessary to protect the funds and/or other interests of relevant grant- or contract-awarding bodies* and to meet all contractual commitments.
- (iii) inform the Pro-Vice-Chancellor with responsibility for research of the course of action proposed and, with the Pro-Vice-Chancellor with responsibility for research, ensure that any action required under 3.5 above is instigated, executed and recorded by the appropriate parties.
- (vi) retain the report and documentation in confidence for five years.

3.8 Screening shall be completed within 20 working days of receipt of the initial allegation of misconduct in research unless circumstances clearly warrant a longer period (such reasons to be documented in the Screeners' written record).

4. INVESTIGATION

4.1 If a formal investigation has been considered necessary by the Screeners, the Registrar and Secretary and the Pro-Vice-Chancellor with responsibility for research shall appoint a panel of three impartial investigators ("the Panel") with appropriate expertise and seniority, at least one of whom shall be from outside the University and each of whom shall be asked to confirm in writing that their appointment involves no conflict of interest. The formal investigation shall commence within 30 days of completion of the investigation by the Screeners.

4.2 The Registrar and Secretary shall:

- (i) report to the Senate and the Council that such an investigation has been initiated but without disclosing the names of individuals involved.

- (ii) inform in confidence any relevant grant- or contract-awarding body* about such an investigation where there is a requirement to do so.
 - (iii) consider with the Pro-Vice-Chancellor with responsibility for research whether, without prejudice to the proper conduct of the investigation, any other action should be taken at this stage pending the outcome of the investigation and if so to instigate such action.
- 4.3 The aim of the Panel shall be to ensure that justice is both done and seen to be done. Within the procedures, the Panel shall be free to determine its own detailed approach to the conduct of the investigation and its scope. Both the Complainant and the Respondent shall be asked to produce relevant documentary evidence such as laboratory notebooks, papers, witness statements, computer records etc to support the allegation of misconduct in research and the explanation. It shall be up to the Panel to form its own view on apparently contradictory pieces of evidence.
- 4.4 If the Panel's preliminary conclusion is that the allegation of misconduct in research is upheld, the full case, with supporting evidence, shall be put to the Respondent for comment. Any further evidence produced at this stage shall be investigated.
- 4.5 If the Panel's preliminary conclusion is that the allegation of misconduct in research is not upheld, the full case, with supporting evidence, shall be put to the Complainant for comment. Any further evidence produced at this stage shall be investigated.
- 4.6 The process described in 4.4 and 4.5 above shall be repeated until the Panel is satisfied that natural justice has been served and further investigations are not warranted and that it can reach a final conclusion on the allegation of misconduct in research.
- 4.7 During the investigation all records and related evidence shall be kept confidential by the Panel. Records of any interviews shall be agreed with the interviewee. The Registrar and Secretary or his representative shall provide confidential secretarial cover as necessary and shall draft a written report for the Panel of the investigation undertaken (including a list of all documentation and evidence received) and of its findings.
- 4.8 Before finalising and submitting its written report, the Panel shall:
 - (i) provide the Respondent with a draft copy for comment.
 - (ii) provide the Complainant with those portions of the draft report which address the Complainant's role and opinions in the investigation together with a summary of its findings.

- (iii) invite both parties to make any written comments within ten working days. The Panel shall take into account any comments received from the parties, in addition to all the other evidence in finalising its report.
- 4.9 The investigation shall be completed within 80 working days of its start. If because of exceptional circumstances a longer investigation period is required, the Panel shall notify the Registrar and Secretary, who shall in turn inform the grant- or contract-awarding body* where there is a requirement to do so of progress and of an estimated date of completion.
- 5. **FINDINGS**
 - 5.1 The Panel shall lodge its written report, when finalised, with the Registrar and Secretary, the Pro-Vice-Chancellor with responsibility for research and the Head of the Respondent's School (or other equivalent officer in non-School units) and shall deposit with the Registrar and Secretary:
 - (i) any documentation used in the investigation.
 - (ii) a copy of any written comments which were received as a result of the process described in 4.8 above.
 - 5.2 The Registrar and Secretary shall:
 - (i) notify the Complainant and the Respondent in writing of the outcome of the investigation, enclosing for each a summary of the Panel's findings.
 - (ii) take any administrative actions that may be necessary to protect the funds and/or other interests of grant- or contract-awarding bodies* and to meet all contractual commitments (including any relating to disclosure of the outcome of the investigation).
 - (iii) ensure that the courses of actions described in 5.3 - 5.5 below are instigated, executed and recorded by the appropriate parties.
 - (iv) retain the report and all documentation in confidence for a period of at least five years.
 - 5.3 Should the allegation of misconduct in research be substantiated, the Registrar and Secretary, in consultation with the Head of the School (or other appropriate senior officer), shall decide what action needs to be taken either under the University's disciplinary procedures or otherwise. Such action may include informing the appropriate professional body, the grant- or contract-awarding body* and the editors of all journals in which the Respondent has published articles. Action may also be taken to revoke a degree or other qualification obtained wholly or partly through misconduct in research relevant to that degree or other qualification.

- 5.4 Should the allegation of misconduct in research be dismissed, all reasonable steps shall be taken to preserve the position and reputation of the Respondent and - provided the allegation is considered to have been made in good faith - the Complainant. If the allegation has been found to be malicious, then the matter shall be referred to the Registrar and Secretary as described in 3.5 above. If the case has received any publicity the Respondent shall be offered the possibility of having an official statement released to the media.
- 5.5 The Registrar and Secretary shall inform the Senate and the Council of the allegation of misconduct in research and of the final outcome of the investigation and shall consider in so doing whether the report to these bodies should be made with or without identification of the Respondent (the Complainant remaining anonymous). If the allegation has been dismissed, the Registrar and Secretary shall ensure that the Respondent is given the option of requesting that the report of the case to the Senate or the Council shall be only that the allegation has been dismissed and shall not identify the Respondent.
- 5.6 Any appeal regarding the findings of the Panel, or complaint alleging unfair treatment under these Procedures, should be directed to the Vice-Chancellor, who shall consider the representation received and decide what action to take upon it.

* the phrase "grant or contract awarding body(ies)" includes the Office of Science Integrity in the case of grants from the US Public Health Service.

March 1998
(Updated March 2006)

Supporting Document 7

UEA Public Interest Disclosure – A Procedure for Staff to Raise Concerns About Malpractice

**PUBLIC INTEREST DISCLOSURE
A PROCEDURE FOR STAFF TO RAISE CONCERNS ABOUT MALPRACTICE**

1. Introduction

- 1.1 UEA is committed to the highest standards of openness, probity and accountability. It seeks to conduct its affairs in a responsible manner taking into account the requirements of the funding bodies and the standards in public life set out in the reports of the Nolan Committee.
- 1.2 An important aspect of this commitment is the availability of a mechanism whereby staff may voice concerns in a responsible and effective manner. The Council of the University has approved this policy statement and procedure so that when an individual discovers information which he or she believes to show malpractice/wrong doing within the University, this information may be disclosed (if necessary independently of line management) without fear of reprisal.
- 1.3 It is a fundamental term of every contract of employment that an employee will faithfully serve his or her employer and not disclose confidential information about the employer's affairs. The policy set out in this document is intended to assist individuals who believe they have discovered malpractice or impropriety. It is not designed to question financial or business decisions taken by the University; nor may it be used to reconsider any matters which have already been addressed under harassment, grievance or disciplinary procedures, or under the procedure for considering allegations of misconduct in research. Once it is in place, it is reasonable to expect members of the University to use this policy rather than air their complaints outside the University.
- 1.4 The Public Interest Disclosure Act gives legal protection to employees against being dismissed or penalised by their employers as a result of publicly disclosing certain serious concerns, provided they do so in a responsible way; and this would normally involve following internal procedures initially where they exist.

2. Scope of Policy

- 2.1 A number of policies and procedures are already in place including grievance and disciplinary procedures, misconduct in research procedures, and harassment and equal opportunities guidelines. This policy is intended to cover concerns which are in the public interest and may (at least initially) be investigated separately but might then lead to the invocation of such procedures. Concerns raised might relate to:
 - financial malpractice or impropriety or fraud
 - failure to comply with a legal obligation or with the Statutes, Ordinances or Regulations of the University

- dangers to health and safety or the environment
- criminal activity
- academic or professional malpractice
- improper conduct or unethical behaviour
- attempts to conceal any of the above

3. Safeguards

Protection

- 3.1 This policy is designed to offer protection to those employees of the University who disclose such concerns provided the disclosure is made:
- (i) in good faith, and
 - (ii) in the reasonable belief of the individual making the disclosure that it tends to show malpractice.
- 3.2 The individual will also be protected if he or she makes the disclosure to an appropriate person/body (see Section 4 below). It is important to note that no protection from internal disciplinary procedures is offered to those who choose not to use the procedure.

Confidentiality

- 3.3 The University will treat all such disclosures in a confidential and sensitive manner. The identity of the individual making the allegation may be kept confidential so long as it does not hinder or frustrate any investigation. However, the investigation process may reveal the source of the information and the individual making the disclosure may need to provide a statement as part of the evidence required.

Anonymous Allegations

- 3.4 This policy encourages individuals to put their name to any disclosures they make. Concerns expressed anonymously are much less powerful, but they may be considered at the discretion of the University.
- 3.5 In exercising this discretion, the factors to be taken into account will include:
- the seriousness of the issues raised;
 - the credibility of the concern; and
 - the likelihood of confirming the allegation from attributable sources.

Untrue Allegations

- 3.6 If an individual makes an allegation in good faith, which is not confirmed by subsequent investigation, no action will be taken against that individual. If, however, an individual makes malicious or vexatious allegations, and particularly if he or she persists with making them, disciplinary action may be taken against the individual concerned.

4. Procedures for Making a Disclosure

Initial Step

- 4.1 With the exceptions indicated below, the individual should make the disclosure to the Registrar and Secretary who should immediately inform the Vice-Chancellor and the Chairman of Council, unless requested not to do so by the discloser.

N.B. Since the Chairman of Council might be involved at a subsequent stage if the disclosure were to be re-made under the Feedback Procedure described below, the Chairman should at this stage be informed only of the **fact** of the disclosure being made.

- 4.2 If the disclosure is about the Registrar and Secretary, it should be made to the Vice-Chancellor. If the disclosure is about the Vice-Chancellor, it should be made to the Chairman of Council.
- 4.3 If the individual does not wish to raise the matter with either the Registrar and Secretary or the Vice-Chancellor, he or she may raise it with the Chairman of the Audit Committee if the issue falls within the purview of that Committee, or with the Chairman of Council.
- 4.4 In cases involving financial malpractice, the Registrar and Secretary should act throughout in close consultation with the Vice-Chancellor, as the Accounting Officer for the University's public funding.

Process

- 4.5 The person to whom the disclosure is made will consider the information made available to him/her and decide on the form of investigation to be undertaken. This may be
- to investigate the matter internally
 - to refer the matter to the police
 - to call for an independent inquiry
- 4.6 If the decision is that investigation should be conducted by more than one of these means, the person making that decision should be satisfied that such a course of action is warranted, the possibility of double jeopardy notwithstanding.

4.7 Where the matter is to be the subject of an internal inquiry, the person to whom the disclosure is made will then consider how to conclude whether there is a *prima facie* case to answer. This consideration will include determining

- who should undertake the investigation
- the procedure to be followed
- the scope of the concluding report.

Investigation

4.8 Normally the Principal Internal Auditor or another officer or member of the University independent of the issue and of the parties involved will undertake this investigation and will report his/her findings to the person to whom the disclosure was made. Investigations should not be carried out by the person who will have to reach a decision on the matter. Any investigation will be conducted as sensitively and speedily as possible.

4.9 Where a disclosure is made, the person(s) against whom the disclosure is made will be told of it, and of the evidence supporting it, and will be allowed to comment before any investigation, or further action, is concluded.

4.10 As a result of this investigation other internal procedures may be invoked, such as

- disciplinary
- grievance
- harassment
- misconduct in research

4.11 In some instances it might be necessary to refer the matter to an external authority for further investigation.

Feedback

4.12 The person to whom the disclosure was made will inform the individual making the disclosure of what action, if any, is to be taken. If no action is to be taken the individual concerned should be informed of the reason for this and allowed the opportunity to remake the disclosure to another appropriate person. For example, if the initial disclosure was made to the Registrar and Secretary or the Vice-Chancellor, the subsequent disclosure might be made to the Chairman of Audit Committee or Chairman of Council. If the initial disclosure was made to the Chairman of the Audit Committee the subsequent disclosure should be made to the Chairman of Council, and *vice versa*.

- 4.13 This other person will consider all the information presented, the procedures that were followed and the reasons for not taking any further action. The outcome of this will be either to confirm that no further action is required or that further investigation is required and will follow the procedures referred to above.

Reporting of Outcomes

- 4.14 A report of all disclosures and any subsequent actions taken will be made by the Registrar and Secretary who will retain such reports for a specified period of time (e.g. three years). In all cases a report of the outcomes of any investigation will be made to the Audit Committee in detail where the issue falls within its purview, and in summary in other cases as a means of allowing the Committee to monitor the effectiveness of the procedure.

Human Resources Policy Committee
June 1999

Supporting Document 8

The Times Higher (THE) article – “Plagiarists face clampdown”

<http://www.timeshighereducation.co.uk/story.asp?storyCode=207063§ioncode=26>

The Times Higher (THE) article – “Everyone’s a loser in a misconduct case”

<http://www.timeshighereducation.co.uk/story.asp?storycode=207087>

Supporting Document 9

External Research Funding – the applications process and the awards process

The role of Research Services is to stimulate and support research activity which is relevant to the University's research objectives. We work closely with the PVC for Research, Enterprise and Engagement and Associate Deans for Research in the Faculties.

We do this through:

- Support for research strategy and policy development, including the Research Excellence Framework, and also liaison with key sponsors.
- Costing, negotiation and authorisation of research contracts, provision of research funding intelligence and research stimulation events.
- Working closely and professionally with other Groups in the Division, other administrative Divisions at the University and Faculty Research Support Offices.

Please click on the below links for further information on the following topics:

[Applications](#)

[Awards](#)

[Post-Award Issues](#)

[Research Ethics](#)

[Research Governance](#)

[Strategic Initiatives](#)

[Administrator Resources](#)

[Contact Us](#)

[Library of Documentation - including Study Leave forms](#)

The Applications Process

The process for applying for external research funding is described in the following sections.

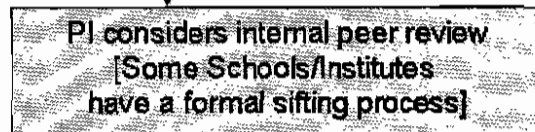
1. Development of the proposal
2. Internal peer review
3. Costing and pricing
4. Authorisation
5. Submission

A flow chart outlining the process can be downloaded [here](#).

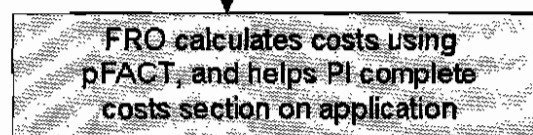
1. Development of the proposal



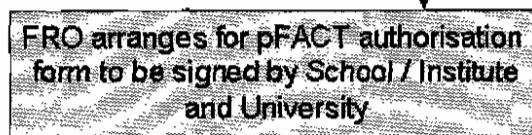
2. Internal review



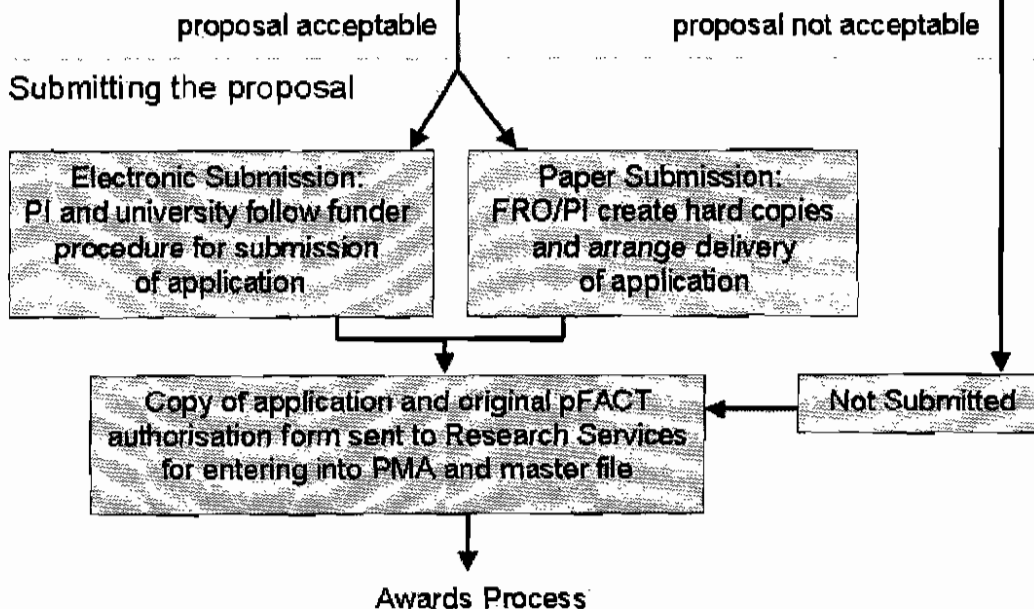
3. Costing and pricing



4. School and university authorisation



5. Submitting the proposal



The Awards Process

The process for acceptance and setting up new research grants at UEA, including supplements to existing grants, is summarised in the following sections.

1. Notification of outcome
2. Terms & conditions
3. Authorisation

Subsequent issues such asirements, recruitment of staff, contractual changes, are described in [Post-award issues](#).

A flow chart showing the awards process can be downloaded [here](#)



☒ Step by Step process of the Awards Process

1. Notification of outcome

Formal notification of award outcome received by Research Services (always forward copies on to us!)

2. Terms & Conditions

Research Services scrutinises and, if appropriate, negotiates the terms & conditions of the award

terms acceptable

terms not acceptable

Research Services generates RGN1 electronic document, emails to FRO

3. School & University Authorisation

School authorisation and/or adjustments on RGN1, PI co-signs (coordinated by FRO)

Research Services authorises contract/issues acceptance letter

Once paperwork completed, Research Services generates RGN2, sends electronically to FRO

Research Services update PMA record/file

Research Services rejects award on behalf of UEA

Standard post-award procedures, e.g.,

School & other services:

- School: staff appointments
- Expenditure can be incurred in School
- Research Finance: PMA accounts/budgets/invoicing

Research Services:

- Start certificates and reports
- Subcontracts / Collaboration Agreements
- Contractual changes (via RGN3)

Supporting Document 10

Professor Philip Jones NERC Award Paperwork
– NER/B/S/2000/00665

21. HEAD OF DEPARTMENT STATEMENT

A signed Head of Department statement must be completed for each Investigator when they are from different Departments/Institutions.

The proposed research will be based in the internationally known Climatic Research Unit, which is a research centre within the HEFCE 5* School of Environmental Sciences at the University of East Anglia. The proposal addresses the issue of climate extremes which has recently emerged as a major concern in the study of climate change and its impacts. Events in the Eastern Mediterranean over the last summer demonstrated the potentially severe human impacts of heatwaves, while the Mediterranean region is also likely to be vulnerable to changes in the occurrence of floods and droughts. The proposers have access to a range of appropriate data sets in the Climatic Research Unit which will allow a rigorous analysis of past changes in extremes across the Mediterranean. The proposed work does not just entail a statistical analysis of the time series, but endeavours to establish the possible causes of the observed changes and also views these changes in the context of global change by comparing them with projected changes due to the enhanced greenhouse effect. It should be noted that work on the relationships between surface climate and possible large-scale predictor variables (such as circulation types and atmospheric humidity) is also highly relevant to the development of improved techniques for downscaling from relatively coarse General Circulation Model output to the higher spatial resolution required for many impact assessments.

The Principal Investigator (Professor Jones) and the Recognised Researcher (Dr Goodess) have worked together on a number of previous projects including, most recently, the Atmospheric Circulation Classification and Regional Downscaling (ACCORD) project funded by the European Commission (EC). The proposed work will allow this collaboration to continue and will build on the ACCORD work. Professor Jones has unrivalled knowledge and experience of the availability of past climate data and their analysis, while Dr Goodess has particular expertise in Mediterranean climatology (through the EC-funded Mediterranean Desertification and Land Use (MEDALUS) projects, for example). Furthermore, the proposed work will allow Dr Goodess to develop issues and interests arising from her recently-completed PhD. I give the project my full support.

I confirm that the Principal Investigator and Co-Investigators named in this proposal are eligible to hold a NERC research grant. Please see Section D (Eligibility) of the Research Grants Booklet before signing this declaration. Applications from Investigators not adhering to the criteria set out in this section will not be considered.

Signature:  Date: 21/9/00

Name(in block letters)PROFESSOR T.D. DAVIES.....

12. SIGNATURES

The following section has been amended to comply with the Data Protection Act.

Each Principal Investigator, Co-Investigator, Recognised Researcher and Collaborator on this grant application must complete this section. Please note that the Administrative Authority from the lead Institution must also sign this form. Additional Administrative Authority signatures will be required if applicant is applying for a split award.

a. Principal Investigator

NERC believes in making details of its awards and their recipients available on the NERC World Wide Web pages. In making this application, it is assumed that you consent to this. If you do not consent to this, please tick this box.

☐

Signature:



Date:

21/9/00

Name in Capitals: PROFESSOR P.D. JONES

b. 1st Co-Investigator

NERC believes in making details of its awards and their recipients available on the NERC World Wide Web pages. In making this application, it is assumed that you consent to this. If you do not consent to this, please tick this box.

☐

Signature:

Date:

Name in Capitals:

2nd Co-Investigator

NERC believes in making details of its awards and their recipients available on the NERC World Wide Web pages. In making this application, it is assumed that you consent to this. If you do not consent to this, please tick this box.

☐

Signature:

Date:

Name in Capitals:

3rd Co-Investigator

NERC believes in making details of its awards and their recipients available on the NERC World Wide Web pages. In making this application, it is assumed that you consent to this. If you do not consent to this, please tick this box.

☐

Signature:

Date:

Name in Capitals:

c. Recognised Researcher

NERC believes in making details of its awards and their recipients available on the NERC World Wide Web pages. In making this application, it is assumed that you consent to this. **If you do not consent to this, please tick this box.**

☐

Signature: *C.M. Goodess*

Date: 21/9/00

Name in Capitals: DR C.M. GOODESS

d. Collaborator(s)

NERC believes in making details of its awards and their recipients available on the NERC World Wide Web pages. In making this application, it is assumed that you consent to this. **If you do not consent to this, please tick this box.**

☐

Signature:

Date:

Name in Capitals:

Administrative Authority (State office held)

Lead Institution only unless the applicant is applying for a split award.

Signature:

T. Moulton

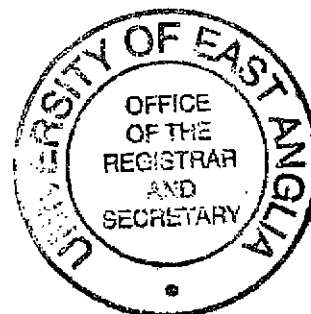
Date: 22/9/00

Name in Capitals:

Tracy Moulton

University stamp:

Administrative Officer





**NATURAL
ENVIRONMENT
RESEARCH COUNCIL**

Finance and Information
Systems Directorate
Awards and Training
Polaris House North Star Avenue
Swindon Wiltshire SN2 1EU
United Kingdom

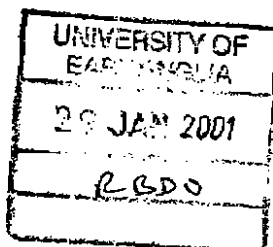
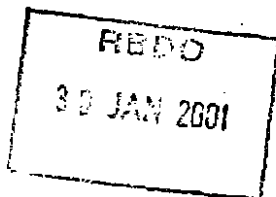
Telephone +44 (0) 1793 411500
Central Fax +44 (0) 1793 411501

Direct line (01793) 411503
Local fax (01793) 411655
Our Ref NER/B/S/2000/00665
Your Ref
Date 25-Jan-01

Mr C M Read
Director

The Registrar
University of East Anglia
Earlham Hall

Norwich
NR4 7TJ



RESEARCH GRANT ANNOUNCEMENT

Dear The Registrar

PROJECT TITLE: Investigation of the nature and causes of changes in Mediterranean rainfall and temperature extremes and the implications for future climate change.

I am directed by the Natural Environment Research Council to offer an award as detailed below, towards the cost of the above project, under the direction of the Principal Investigator. Details of the grant are shown in the attachments to this letter.

This award has been indexed and is cash limited in accordance with cross Research Council policy.

Will you please confirm acceptance of this offer under the terms and conditions attached.

Yours sincerely

Emma Watt
Awards and Training
E-Mail: ewa@wpo.nerc.ac.uk@nerc.ac.uk

PRINCIPAL INVESTIGATOR: Professor PD Jones

INSTITUTION: East Anglia University

FUNDING DETAILS

Staff	Amount	Posts	
Research Staff	22,360.06	1	
Technician Staff	648.45	1	
Staff Total	23,008.51	2	
Other Funds			
Consumables	1,067.50		
Sub-Total	24,076.01		
Indirect Costs	10,583.92	Indirect costs rate	46 %
GRANT TOTAL	34,659.93		

GRANT PERIOD: 7 months

STARTS: 01/02/2001

ENDS: 31/08/2001

CO-INVESTIGATORS

STAFF POSTS/SALARY DETAILS

Spine	Grade	Date of Scale	Months on Project	%FTE per year	Start Date	Increment Date	Name / Comments
14	TEC	07/08/2000	0.5	100	01/02/2001	01-08	Mr N Loveday
18	RA2A	07/08/2000	7	100	01/02/2001	01-08	Dr CM Goodess

FACILITIES

Facility Name	Recommended	Allocation

VISITING SCIENTISTS

Visiting Fellow	Country

STANDARD RESEARCH GRANT CONDITIONS

Reference	Condition
STD1	<p>1. The conditions attaching to Research Grants are as given in the Research Grants booklet (http://www.nerc.ac.uk/funding/forms.htm) & summarised below.</p> <p>2. All awards are cash limited and no supplements will be considered.</p> <p>3. Please note that funds cannot be released until receipt of a starting certificate.</p> <p>4. If the identity of a Research Assistant is unknown at the time of application, NERC will normally award the grant as required to permit employment at up to the 27 age point. Should the institution wish to employ an RA older than 27, then the requisite finance must be obtained from savings elsewhere in the grant, by a shortened duration of appointment, or by the institution meeting the difference in cost. Because of the financial limit involved, this may not apply to small grants. Please note: CVCP pay scales commence at point 4.</p> <p>5. Private transport will be reimbursed at Civil Service Public Transport rate (27p per mile from the 1 April 2000).</p>

STD2	<p>6. NERC, in common with other Research Councils, automatically reimburses institutions for research grant expenditure by means of a profiled payments system.</p> <p>7. Payment for the last quarter of the grant will not be made until a final report has been submitted. This must be within 3 months of the end of the grant.</p> <p>8. Where an award is split, only one final report is required, which is responsibility of the Principal Investigator to provide.</p> <p>9. Final reports are not requested for JREI and CONNECT A awards - a completed PA1 form is all that is required.</p> <p>10. Council regularly reviews its support, both direct and indirect, for universities and other institutions of higher education. Council may require detailed information on the results of the work funded by grants, studentships, fellowships and contracts, to be used for its scientific and financial audit procedures.</p> <p>11. When an application is approved, the research grant will be announced in a formal offer to the institution giving details of the research grant and any special conditions governing it. Institutions will be required to formally accept the offer of a research grant within 4 weeks of receipt of the offer of award.</p> <p>12. Grant holders are expected to comply with the NERC Data Policy (http://www.nerc.ac.uk/environmental-data/data/informationfor.htm). In particular, grant holders are required to offer to deposit with NERC a copy of datasets resulting from their research to the most appropriate Designated Data Centre.</p>
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ADDITIONAL CONDITIONS

Reference	Condition

SPECIFIC CONDITIONS

Reference	Condition

ADDITIONAL INFORMATION

Reference	Condition

Supporting Document 11

Professor Philip Jones EPSRC Award
Paperwork – GR/S18328/01

DEAN'S APPROVAL SLIP



Investigator (s)

Proposed Funding Body

Title of Project:

Amount:

Overheads:

(Indicate rate used – see guidance overleaf)

Start Date:**End Date:**

I confirm with regard to the attached application for the above-named grant/contract:

1. that it is appropriate work for the School to undertake;
2. that the Principal Investigator has appropriate qualifications and experience to manage the proposed project
3. that the Principal Investigator has a contract of employment for the full duration of the project.
4. where the project involves co-ordinating contributions from a group of partner institutions, that the Principal Investigator has the necessary experience and organisational skills to manage the overall project.
5. that the costings in the application cover the full allowable costs of the project and in particular:
 - (a) that the provision for support staff (technical and other staff), where not excluded by the awarding body, is sufficient to meet all the needs of the project;
 - (b) that the Schools' need for new equipment is adequately taken into account in the figures for equipment;
 - (c) *for grants other than from UK Charities, Research Councils or CEC Programmes*, that the School is satisfied that the overheads included are at a rate which is acceptable to the School. *(NB: the usual minimum is 40% of total costs – please see overleaf)*
6. that the accommodation, laboratory, computing and any other facilities required for the project can be met from within existing provision in the School, supplemented by items of equipment to be purchased from the budget for the project.
7. that the application has been subject to normal School internal scrutiny procedures to ensure the quality of the application.
(The precise arrangements may vary according to experience of the Principal Investigator. An ideal situation would be that all applications are subject to some form of scrutiny as part of an exchange of information on best practice)

If any of the above statements needs to be qualified, please add an appropriate explanatory note overleaf

I support the application as Dean of the School of *Edu*

Signed: _____

Date: 29.1.02

***Please send this form with the application, prior to despatch to the funding body,
to the Research and Business Development Office in The Registry.***

DEAN'S APPROVAL SLIP**Overheads – Guidance to rates**

Funding source	Overhead Rate
UK Charitable Institutions	No overheads
Research Councils	46% staff costs - rate fixed by funder
CEC (European Commission)	20% total costs (excluding sub-contracts) - rate fixed by funder
MAFF	50% basic salary (excludes NI & Pension) and consumables - rate fixed by funder
NHS Executive (Eastern Region <u>ONLY</u>)	No explicit overheads at present (November 2000)
Commercial sources	Schools are urged to ask for a higher rate than the minimum (see below) i.e 80% staff costs
Other Sources	Minimum of either: 40% total costs or 46% total staff costs

Explanatory Note by Dean (where required)

RBDO Use Only

- (1) VAT on the total cost has been included ? Yes / No
(if the project is research and is not undertaken for an exempt body such as Research Councils, Charities, Government Departments or Overseas funders including CEC)

- (2) Authorised in accordance with University Financial Regulations

Date 13/8/02

post submission
- authorised by
Janice Darch

Research and Business Development Office, University of East Anglia – Dean's Approval Slip – November 2000

**Please send this form with the application, prior to despatch to the funding body,
to the Research and Business Development Office in The Registry.**

EPSRC**Engineering and Physical Sciences
Research Council**

Assistant Registrar
University of East Anglia
Norwich
Norfolk
NR4 7TJ



Polaris House
North Star Avenue
Swindon, Wiltshire
United Kingdom, SN2 1ET
Telephone +44 (0) 1793 444000
Internet <http://www.epsrc.ac.uk>

Direct line 01793 444369
Local fax 01793 444009
E-mail angela.grigsby@epsrc.ac.uk
Our Ref: GR/S18328/01

20/12/2002

Dear Assistant Registrar

EPSRC OFFER LETTER : Standard Research, GR/S18328/01

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

Return of a completed "Starting Certificate" will be taken as acceptance of the grant on the terms stated. If you are unable to accept the grant you should notify the EPSRC as soon as possible.

EPSRC grants are cash-limited and expenditure against the grant must not exceed the value awarded. The funds awarded include a sum to take account of expected inflation and pay awards over the period of the grant.

A copy of this letter is enclosed for each of the individuals named overleaf. Please forward them to the individuals concerned, since they will receive no separate notification from EPSRC.

Yours faithfully

Mrs Angela Grigsby
Programme Operations Directorate

enc.

Organisation : University of East Anglia
Principal Investigator : Professor PD Jones, University of East Anglia, Climatic Research Unit
Grant Title : Construction of climate scenarios for the integrating framework: built environment, transport and utilities
Starts : 01/04/2003 **Ends :** 31/03/2006
Co-investigator(s) : Dr JP Palutikof, University of East Anglia, Climatic Research Unit
Co-Author(s) : Dr CM Goodess, University of East Anglia
 Dr D Viner, University of East Anglia

GRANT VALUE**Funds Awarded**

	Pre-Cash Limit	Cash Limit	Total
	(£)	(£)	(£)
Staff	53355	1700	55054
Travel and Subsistence	2800	142	2942
Consumables	20798	1058	21856
Sub Total	76953	2900	79853
Indirect Costs	24543	782	25325
Total	101496	3682	105178

Cost of Access to Facilities and Services
 (Funds not awarded to grant holding organisation)

Total
(£)

Total Grant Value**105178****STAFF****Summary**

	Pre-Cash Limit	Number	Number
	(£)	of Months	of Posts
Post Doctoral	51919	18.00	6
Technical	1436	0.50	1
Total	53355	18.50	7

Details

	Grade	Spine Point	Date of Scale	Number of Months	Number of Posts	Start Date	Increment Date	Name
Post Doctoral	RA3A	21	05/11/2001	2.00	1	01/04/2003		Clare Goodess
	RA3A	22	05/11/2001	2.00	1	01/03/2004		Clare Goodess
	RA3A	23	05/11/2001	1.00	1	01/04/2005		Clare Goodess
	RA3A	21	05/11/2001	1.00	1	01/04/2003		David Viner
	RA1A	11	05/11/2001	10.00	1	01/04/2003	01/08/2003	Matthew Watts
	RA1A	9	05/11/2001	2.00	1	01/07/2003	01/08/2003	Clair Hanson
Technical		0		0.50	1	01/04/2003	01/08/2003	Michael Salmon

GRANT CONDITIONS**SCHEME CONDITIONS****RGC****Research Grants**

The principles governing the funding and management of research and postgraduate training are set out in the EPSRC's Research Framework Agreements with the universities and other higher education organisations, in the form of obligations accepted by both the EPSRC and the universities. The terms and conditions of research grants expand on these principles. In accordance with the undertaking given in the Research Framework Agreements, the EPSRC reserves the right to amend these terms and conditions, but will consult organisations before major changes are introduced.

GC 1 Responsibilities of the Host Organisation

Research grants are provided by the EPSRC for the support of research which has been proposed by the organisation and accepted (or modified) by the EPSRC as a basis for a research grant.

The organisation must notify the EPSRC of any change in its status, or that of any of the investigators, which might affect the eligibility to hold a research grant.

The organisation must meet the salaries costs of investigators and the general premises costs in support of the research.

The organisation is required to have in place agreed procedures for governing good scientific practice that meet the requirements of the EPSRC publication "Good Practice in Scientific and Engineering Research". The organisation must ensure that there are reliable systems and processes in place for the prevention of scientific misconduct e.g. plagiarism, falsification of data, together with well defined and clearly publicised arrangements for investigating and resolving allegations of scientific misconduct. Where an allegation of scientific misconduct arises in respect of a researcher supported by a research grant, the EPSRC must be informed immediately and advised of the outcome of any investigation.

misconduct reference

The organisation is responsible for managing and monitoring the conduct of medical and health research consistent with the Department of Health's Research Governance Framework. In particular, significant development should be reviewed as the research proceeds, especially any that risk the safety of individuals. The EPSRC must be notified about any resulting modifications to research objectives, approach or design.

If the approval of a Research Ethics Committee is required for the

research, the organisation and the Principal Investigator have an absolute responsibility for ensuring that such approval is granted before any research is undertaken. Any variation in a project that affects the nature or degree of the hazard to which any human participants are exposed must be treated as a new investigation, for which fresh Research Ethics Committee approval must be obtained. Any serious incident arising during the course of the research should be reported immediately to the EPSRC, as well as to the Research Ethics Committee. The research should be suspended until the Research Ethics Committee has decided whether it may be continued.

GC 2 Use of Funds

The funds awarded will include a sum to take account of expected inflation and pay awards over the period of the grant. The funds are thus cash limited and the grant is made on the understanding that its value will not be increased. Subject to the following conditions, the funds may be deployed, without reference to the EPSRC, in such a manner as to best carry out the research.

GC 3 Starting Procedures

The start date of a research grant will normally be the day on which work commences on the project. Notification of this date, by submission of the starting certificate, will activate the profiled payments.

The start date for payment will be as follows:

Research grants with staff: the date on which the first staff supported by the grant start work

Research grants with staff, where it is intended that staff should not be in post at the start of the grant: the date on which expenditure on any other heading is first incurred. The payment schedule will take account of such cases where they have been notified in the application and approved in the grant offer

Research grants without staff: the date on which expenditure is first incurred

The start of a research grant may be delayed by up to 6 months after the announced start date, the duration of the grant remaining unchanged. The grant will lapse if not started within 6 months of the announced start date.

For grants with items of large capital (single items of equipment over £100,000) expenditure for such items may be incurred before work commences. The start date of the period covered by the claim will be regarded as the actual start date of the grant. If the grant also includes profiled payments, these will not be activated until the starting certificate has been received.

GC 4 Extensions

After a research grant has started the duration may be extended by up to 6 months where there have been breaks or delays in the appointment of staff, including project students. The EPSRC must be notified of such extensions once the date of appointment of the staff concerned is known. A research grant may also be extended to cover periods of maternity or paid sick leave for staff funded by the grant.

GC 5 Claims for Large Capital

Claims are required for large capital (single items of equipment over £100,000) which are specified in the grant offer letter. Claims must be submitted in arrears on the Large Capital claim form. Receipt of a claim will not in itself activate profiled payments.

Claims should be accompanied by an invoice for the relevant equipment;

failure to supply this information will result in the claim being returned. Reimbursement will be limited to the actual price paid. If the amount claimed exceeds the value awarded under that heading, the excess must be found from other headings in the grant and itemised in the final expenditure statement.

GC 6 Transfers between Headings

The organisation must not over-commit expenditure against the research grant as a whole, but may increase the amounts within individual headings of expenditure by transfer from other headings, subject to the following restrictions:

Funds provided for Large Capital, or savings on the purchase of such items, are not transferable without prior written approval

Funds provided for the purchase of equipment items in excess of £25,000 must not be transferred, nor used to buy other equipment, without prior written approval;

Public communication training funds are not transferable

Indirect costs cannot be transferred

An explanation must be given in the Individual Grant Review where expenditure differs from the sum awarded under a particular heading by more than 20%.

GC 7 Staff and Indirect Costs

The organisation must accept all the normal duties and responsibilities of an employer.

The staff engaged must be appointed by the organisation on terms that are the same as those for comparable posts in the organisation. Research staff appointed under a research grant may engage in teaching and demonstrating for up to 6 hours a week during normal working hours provided that this work is related to the research project to which they were appointed.

Funds for project students are included in the staff heading and students should be appointed in accordance with the organisation's own terms and conditions. Organisations are nevertheless encouraged to take account of the guidance on quality and standards that apply to the EPSRC's research studentships funded through Doctoral Training Grants.

Similarly, the stipend paid to project students is at the discretion of the organisation, subject to finding the costs from within the total grant, subject to the following paragraph.

If the staff heading is increased by transfer from another heading, sufficient funds must also be transferred to the indirect costs heading.

GC 8 Procurement of Equipment

The procurement of equipment must comply with the relevant national and EU legislation and the organisation's own financial and procurement policy. As a minimum, the guidance procurement best practice issued by the Joint Procurement Policy and Strategy Group (JPPSG) must be observed. The guiding principle behind the approach to procurement must be that of obtaining value, in relation to both the research project and the use of public funds.

The procurement process should have regard for the total cost of purchasing, operating and maintaining equipment, not just the initial capital cost. Whole-life costs, including arrangements for warranties, training and maintenance, should all feature in the purchasing decision. Professional procurement staff at the organisation must be consulted

concerning the purchase of equipment exceeding £25,000 and their advice and skills utilised for the tendering and negotiation process.

Non-binding quotations should be obtained in advance of the submission of an application so that the value of any resulting grant can more closely reflect actual requirements. Proposals that include requests for equipment up to £100,000 should be accompanied by three quotations, obtained by telephone. For items costing more than £100,000 at least three written quotations should be provided.

Purchase of equipment costing less than £25,000 may make use of call-off contracts and other preferred suppliers, where these have already satisfied competition objectives, as an alternative to competitive tendering. For higher value equipment, organisations should endeavour to coordinate their purchasing with others in order to increase their buying power and scope for negotiation with suppliers.

Contract terms for the supply of equipment should seek to protect the position of the organisation against the possibility of failure by the supplier to deliver on time, to cost or to the agreed specification. The standard terms and conditions promoted by the Research Equipment Affinity Group should be adopted where possible. In general, advance payments and payments on delivery should be avoided. It is preferable to agree acceptance criteria in advance with the supplier and make payments conditional on satisfactory testing against these criteria, holding back a final payment until the equipment has been fully commissioned.

GC 9 Use of Equipment

Equipment is provided primarily for use on the research project for which the research grant has been awarded, and belongs to the organisation. In certain circumstances, the EPSRC may wish to retain ownership throughout the period of the grant, and possibly beyond. In such cases, the grant will be subject to a Grant Additional Condition.

The EPSRC must be informed if, during the life of the research grant, the need for the equipment diminishes substantially or it is not used for the purpose for which it was funded. The EPSRC reserves the right in these circumstances 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 research grant is subject to approval from the EPSRC. After the research grant has ended, the organisation is free to use the equipment without reference to the EPSRC, but is nevertheless expected to maintain it for research purposes as long as is practicable.

Where there is spare capacity in the use of equipment, the EPSRC expects this to be made available to other users. Priority should be given to research supported by any of the Research Councils and then to Research Council-funded students.

GC 10 Public Communication Training Funds

Public Communication Training Funds are available for the investigator, or other members of the research team, to contribute to the costs of training in the skills required for presenting aspects of the EPSRC-supported research to the general public. A statement on the use of the funds must be included in the Individual Grant Review.

GC 11 Transfer of Principal Investigator

The organisation must notify the EPSRC if the Principal Investigator transfers to another organisation. If this organisation is eligible to hold research grants, the EPSRC would normally expect the grant to be transferred with the Investigator. Written agreement to this is required from both the relinquishing and receiving organisations. Where there is a basis for continued involvement by the relinquishing organisation,

agreement should be reached between both organisations on the apportionment of work and distribution of related funding. The EPSRC will not normally agree to separate grants in these circumstances.

Should it not prove possible to agree suitable arrangements to enable the project to be undertaken, or to continue, in accordance with its original objectives, the EPSRC will consider withdrawing its offer of support or terminating the grant.

GC 12 Non-negligent Harm

Medical and health-related research may involve trials with human participants. Any such trials require prior approval by a Research Ethics Committee.

The EPSRC will give consideration to claims for non-negligent harm suffered by a person as a result of a trial or other work connected to a medical or health-related project. This does not extend to liability for non-negligent harm arising from conventional treatment where this is part of a trial.

Where studies are carried out in a hospital, the hospital has a duty of care to all the patients it is treating. The EPSRC does not accept liability for any breach in the hospital's duty of care, or any negligence on the part of its employees. This applies whether the hospital is part of an NHS Trust or otherwise.

GC 13 Expenditure Statements

Expenditure statements are used to reconcile the actual expenditure incurred during the life of a research grant against the payments made.

The organisation must complete and return a final expenditure statement (FES) within 3 months of the end of a research grant. Any request to extend the due date for receipt of the FES must be made in writing before the date has passed and be agreed by the EPSRC. Once an expenditure statement has been received by the EPSRC and the expenditure incurred has been reconciled against payments made, it will be considered as final. Facsimile or photocopies of the expenditure statement cannot be accepted.

Costs arising from maternity leave or paid sick leave should be identified in the exceptional items section of the expenditure statement.

Where items of equipment costing £25,000 or more have been purchased, copies of the invoices must be submitted with the expenditure statement. If such funds have been used to buy different equipment, or transferred to another heading, without prior written approval, the expenditure will not be met.

Where the duration of a research grant exceeds three years and six months, and where the grant has not already been reviewed, the EPSRC will send the organisation an interim expenditure statement for completion and return. No further payments will be made until the interim statement has been returned and accepted.

The EPSRC reserves the right to have reasonable access to inspect the relevant books, records and financial procedures associated with research grants or to appoint any other body or individual for the purpose of such inspection.

GC 14 Individual Grant Review

A report on the conduct and outcome of the project, the Individual Grant Review (IGR) must be submitted by the organisation within three months of the end of the research grant (one month for overseas travel grants), on the form provided by the EPSRC.

If there are exceptional reasons that will prevent submission of the IGR within the period allowed, a request may be made, before the due date passes, for the submission period to be extended. Such requests must be made in writing and agreed by the EPSRC.

GC 15 Sanctions

Timely submission of the IGR and the final expenditure statement is essential.

The EPSRC will:

Not consider subsequent research proposals from an investigator until the IGR is received and accepted by the EPSRC

Recover 20% of the expenditure incurred on the grant if the IGR is not received within the period allowed

Recover 20% of the expenditure incurred on the grant if the FES is not received within the period allowed, and recover the whole amount paid if the FES is not received within six months of the end of the grant

Financial sanctions resulting from overdue IGRs and final expenditure statements operate independently. Agreement to extend the due date for one document does not automatically apply to the other. However, if both documents are late, the sanction remains at 20% of expenditure.

The final expenditure statement is required to enable the EPSRC to meet its responsibilities to account for the use of public funds; thus if the FES is not received within six months of the end of the research grant the EPSRC is unable to reconcile payments made against expenditure incurred and must recover all payments made against the grant.

GC 16 Annual Statement

The EPSRC will send an annual statement to the organisation showing the payments made for the previous financial year. The organisation is required to certify, by signing and returning the statement, that:

The expenditure shown has been incurred in accordance with the grant conditions, and that those grants shown as current are continuing

No further payments, including those for large capital, will be made until the signed annual statement has been received by the EPSRC.

GC 17 Commercial Exploitation

The EPSRC makes no claim to the intellectual property rights arising from the research it supports.

It is the responsibility of the organisation, and of all engaged in the research for which resources have been provided, to make every effort to ensure that any potentially valuable results obtained in the course of the research are exploited, and that there is a suitable return to the organisation and the researchers from any such exploitation. The organisation must ensure that all those associated with the research are aware of, and accept, the arrangements for exploitation.

The EPSRC expects any collaborative arrangements to be put on a formal basis, for example, through an agreement covering the contributions and rights of the organisations and individuals concerning exploitation. Such agreements must not conflict with the EPSRC's terms and conditions of research grants.

GC 18 Monitoring and Evaluation

The EPSRC reserves the right to monitor the research and to ask that the investigator attends meetings to exchange information and ideas with

others who are pursuing research in the same or similar fields.

The investigator must make all reasonable efforts, if so invited, to attend a theme day or other activity organised by the EPSRC concerning the evaluation of the research undertaken through research grants. Such events may be held after a grant has finished.

GC 19 Publication

The investigator should, subject to the procedures laid down by the employing organisation, publish the results of the research arising from the research grant in accordance with normal academic practice. Publications should acknowledge the support received from the EPSRC, quoting the grant reference number.

GC 20 Changes in Programme

In the event of any major change in the proposed research, or any change in circumstances which make it unlikely that the broad objectives of the research can be achieved, revised proposals should be submitted to the EPSRC. The EPSRC reserves the right to make a new research grant in place of the existing grant or to retain or cancel the existing research grant. If the existing grant is terminated, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted by the EPSRC, but negotiations will be entered into in regard to other contractual commitments and in regard to the disposal of assets acquired under the research grant.

GC 21 Disclaimer and Right to Revise or terminate the Research Grant

The EPSRC accepts no responsibility, financial or otherwise, for expenditure or liability arising from the research funded by the research grant, except as set out in these terms and conditions.

The EPSRC reserves the right to revise or terminate the research grant at any time, subject to reasonable notice and to the payment of any final instalment that may be necessary to cover outstanding and unavoidable commitments.

ADDITIONAL INFORMATION

SCHEME INFORMATION

PSTUD

Project Students - Graduate Schools

Project students are eligible to attend a Research Councils' Graduate School free of charge, during the currency of the research grant. Details of the Graduate Schools Programme and application forms are available on the EPSRC website. Applications from project students should quote the grant reference number and give the name of the Principal Investigator.

www1

IGR Summaries on the WWW

Standard Grant Condition GC19 requires Investigators to publish the results of their EPSRC funded research. In this context EPSRC considers that the World Wide Web (WWW) is one of the most effective information dissemination mechanisms available. Therefore, Investigators are encouraged to place a summary of their Individual Grant Review (IGR) Report on their own web site at the same time as the IGR is submitted to EPSRC.

GRANT INFORMATION

CC Info

Climate Change Programme - Further Information

This grant is awarded under the joint EPSRC/UKCIP initiative "The Impacts of Climate Change on the Built Environment, Transport and Utilities".

It is the intention of EPSRC and UKCIP to manage the projects within this initiative within an integrated management framework to ensure appropriate linkages between the individual projects and with other relevant external research.

Projects funded under this initiative will be expected to contribute to the framework through the use of shared data; attendance at meetings; provision of interim reports; and any other requirements identified by EPSRC and UKCIP and any persons charged by them to manage the framework on their behalf."

SPECIFIC INFORMATION

JOINT PROJECT

This grant forms part of a joint project with:

Mr C Kilsby at the University of Newcastle upon Tyne, ref GR/S18335/01.

Supporting Document 12

Professor Philip Jones EPSRC Award
Paperwork – EP/G061211/1

pFACT Project Authorisation Sheet

PROJECT SUMMARY AND APPROVALS (print when complete and firmly attach pFACT Income/pricing statement)

01-Mar-2007

pFACT ID	2254
Lead Investigator of the project	Philip Jones
Lead Investigator's School	ENV
Lab Based/Non-Lab Based	Lab Based
Other Schools Involved with % RAE Split	
Funder Name	NERC
Programme name (if applicable)	
Currency	STERLING (£)
Funder's submission deadline (DD/MM/YYYY)	
Title of Project	

Arcadia

Is ethics approval required? (Y/N)

n

Is this a "healthcare" research project (Dept of Health's "Research Governance Framework")? (Y/N)

n

Form completed by:

Michelle Harris

Total Full Economic Cost (from pFACT)

£165,009

Enter price (from pFACT)

£125,315

Price as percentage of FEC (Note: may not always be an exact match to funder due to UEA's own indexation rates)

76%

In signing this form, the Lead Investigator - if co-signing this form - and Head of School (or officially nominated deputy) confirm their collective and individual responsibilities in delivering the research project in accordance with the sponsor's terms and conditions and the University's and School's policies and procedures. These include research pricing, Financial Regulations, Good Research Practice Standards and the Procedure for Investigating and Responding to Allegations of Research Misconduct. This also includes specific confirmation that all costs, including any restructuring and installation costs if necessary, have been disclosed and this proposed project will not involve the University in any additional expenditure beyond that identified here. Comprehensive guidance for authorisers is available on the Research and Business Services website (Research Services/Authorising Applications and Contracts)

School Authoriser

Signed, date:

J Burgess

V Admyres 05/11/08

Recommend skipping RGN1 stage (Y/N), eg. money up front, no terms and conditions? If Yes, add clarifying note/conditions at end form and Lead Investigator should co-sign here:

Lead Investigator:

Signed, date:

NOTE: Income/Pricing Statement from pFACT should be printed out and attached to this form, along with the application, before passing to the relevant authoriser in the School for the School's share of the Project. Where more than one School is involved a separate sheet for each School is required.

In signing this form, Research and Business Services or Faculty research administrator (depending on agreed delegation) confirm the research project is in accordance with the sponsor's terms and conditions and the University's and School's policies and procedures. Comprehensive guidance for authorisers is available on the Research and Business Services website (Research Services/Authorising Applications and Contracts)

University Authoriser in Research and Business Services
or Faculty Research Administrator

University Authoriser

Signed, date:

Michelle Harris

4 Nov '08

Notes/Clarifications:



Engineering and Physical Sciences
Research Council

REE Office
University of East Anglia
Norwich
Norfolk
NR4 7TJ

Polaris House
North Star Avenue
Swindon, Wiltshire
United Kingdom, SN2 1ET
Telephone +44 (0) 1793 444000
Internet <http://www.epsrc.ac.uk>

Direct line 01793 444543
Local fax 01793 444562
E-mail carol.o'Neill@epsrc.ac.uk
Our Ref: EP/G061211/1

25/03/2009

Dear Assistant Registrar

EPSRC GRANT OFFER LETTER : Standard Research, EP/G061211/1

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

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.

EPSRC grants are cash-limited and expenditure against the grant must not exceed the value awarded. The funds awarded include a sum to take account of expected inflation and pay awards over the period of the grant.

Please note copies of this letter have not been sent to the individual(s) named overleaf. It is the responsibility of the lead Research Organisation to distribute copies as necessary.

Yours faithfully

Mrs Carol O'Neill
Grants Processing Team

enc.

OFFER LETTER - EP/G061211/1

25/03/2009

Organisation : University of East Anglia

Principal Investigator : Professor P Jones, University of East Anglia, Environmental Sciences

Grant Title : ARCADIA: Adaptation and Resilience in Cities: Analysis and Decision making using Integrated Assessment

Starts : 01/07/2009 **Ends :** 30/06/2012

Collaborator(s):

- Ms D Lundberg, London First
- Mr P Ellis, Communities and Local Government
- Dr L Clancy, Arup Group Ltd
- Dr P Vanderger, Commission for Architecture & the Built Environment
- Ms J Crawford, Royal Town Planning Institute
- Ms K Henderson, Town and Country Planning Association
- Dr M Theseira, Greater London Authority
- Mr A Nickson, Greater London Authority

GRANT VALUE

Funds Awarded

	Authorised FEC (£)		RC Contribution (£)		Total	% FEC
	net	cash limit	net	cash limit		
Directly Incurred						
Staff	60759	2497	48607	1998	50605	80
Travel and Subsistence	5400	337	4320	270	4590	80
Other Costs	1000	62	800	50	850	80
Directly Allocated						
Investigators	17934	1089	14347	872	15219	80
Estates Costs	6711	419	5369	335	5704	80
Other Directly Allocated	1734	108	1387	87	1474	80
Indirect Costs						
Indirect Costs	63107	3938	50486	3150	53636	
Total	156645	8451	125316	6761	132077	

STAFF

Summary

	Authorised FEC net	RC Contribution net	Number Of Months	Number Of Posts
Post Graduate	60759	48607	16.25	3
Investigator	17934	14347	36.00	1
Total	78693	62954	52.25	4

OFFER LETTER - EP/G061211/1

25/03/2009

Staff Details (Directly Incurred / Exceptions)

Grade	Spine Point	Date of Scale	Number of Months	Number of Posts	Start Date	Increment Date	Name
Post Graduate			7.00	1	01/02/2010	01/08/2010	Dr C Harpham
Post Graduate			7.00	1	01/07/2009	01/08/2009	Dr D Maraun
Post Graduate			2.25	1	01/07/2009	01/09/2009	Goodess

Staff Details (Directly Allocated)

	Number of Months	Start Date	Total Hours	Average Hours/week	Name
Investigator	36	01/07/2009	375	2.80	Professor P Jones

GRANT CONDITIONS

SCHEME CONDITIONS

GAC

Electronic offer letters

Further to GC 4 Starting Procedures, the EPSRC has introduced a system of electronic offer letters and starting procedures.

An electronic version of the grant offer letter will be sent through the JeS system to the main JeS portal at the RO accompanied by an offer acceptance and payment data. The RO will be responsible for the distribution of the offer letter to the Principal Investigator and all Co-Investigators (including those at other ROs) and will have to return the offer acceptance via JeS within 10 working days of receipt. The Start Confirmation (formerly the Starting Certificate) will only be sent out, electronically, to the RO when the offer acceptance has been returned.

TCfEC

The provisions of GC4 relating to the start of the research and submission of the Starting Certificate remain unaltered.

Joint terms and Conditions for Grants and Fellows

TERMS AND CONDITIONS OF RESEARCH COUNCIL FEC GRANTS

These terms and conditions relate to grants, comprising Research Grants and Fellowships, costed and funded on the basis of full economic costs (FEC), calculated in accordance with the TRAC methodology (universities and other higher education bodies) or by an equivalent methodology by other Research Organisations.

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

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

Individual Councils may add additional conditions to the grant to reflect the particular circumstances and requirements of their organisation, or the nature of a particular grant. Acceptance of a grant constitutes acceptance of both the core conditions and any additional conditions.

The Research Councils reserve the right to vary these terms and conditions.

Definitions

Research Council: any of the bodies listed above.

Grant: support for a proportion of the full economic costs of a project. A Grant may be either a Research Grant or a Fellowship.

Research Grant: a contribution to the costs of a stated research project which has been assessed as suitable for funding through the procedures established by the relevant Research Council.

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

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

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

Research Organisation: the organisation to which the grant is awarded and which takes responsibility for the management of the research project and the accountability of funds provided.

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

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

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

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

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

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

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

Data Protection Regulations

The Research Councils will use information provided on the grant proposal for processing the proposal, the award of any consequential grant, and for the payment, maintenance and review of the grant. This may include:

- Registration of proposals;
- Operation of grants processing and management information systems;
- Preparation of material for use by referees and peer review panels;
- Administration, investigation and review of grant proposals;
- Sharing proposal information on a strictly confidential basis with other funding organisations to seek contributions to the funding of proposals;
- Statistical analysis in relation to the evaluation of research and the study of trends;
- Policy and strategy studies.

To meet the Research Councils' obligations for public accountability and the dissemination of information, details of grants may also be made available on the Research Councils' web sites and other publicly available databases, and in reports, documents and mailing lists.

After completion of the grant, the Research Council may contact the Grant Holder concerning funding opportunities or events, or for the purposes of evaluation. In

some instances, the Research Council may wish to authorise an affiliate organisation to contact the Grant Holder on its behalf. It is assumed that, by agreeing to these terms and conditions, the Research Organisation consents to this on behalf of the Grant Holder, but if the Grant Holder prefers not to be contacted in this way, he or she should state this to the Research Council. Grant Holders may choose to opt out at any point, provided they comply with all other terms and conditions associated with the grant.

Freedom of Information Act and Environmental Information Regulations

Attention is drawn to the provisions of the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations (EIRs). Research Councils have issued Publication Schemes which set out the types of information publicly available on their websites or published as documents. In addition, Research Councils have an obligation to respond to specific requests and may be required to disclose information about or provided by Research Organisations. In some cases the Research Council may consult the Research Organisation before disclosure, but it is under no obligation to do so. If a Research Organisation considers that any information it provides to a Research Council would be subject to an exemption under FOIA or the EIRs it should clearly mark the information as such and provide an explanation of why it considers the exemption applies and for how long. The Research Council will consider this explanation before disclosure, but it is not obliged to accept it as binding.

Where a Research Council determines that a Research Organisation is holding information on its behalf that it requires in order to comply with its obligations under FOIA or EIRs, the Research Organisation undertakes to provide access to such information as soon as reasonably practicable on request of the Research Council and in any event within 5 working days.

In some cases Research Organisations may be directly responsible for complying with FOIA and the EIRs; in such cases the Research Councils accept no responsibility for any failure to comply by the Research Organisations.

GC 1 Responsibilities of the Research Organisation

a. The Research Organisation must ensure that any part of the Full Economic Cost of the project not funded by the Research Council grant is committed to the project before it starts.

b. The Research Organisation must ensure that the Grant Holder and Co-Investigators are made aware of their responsibilities and that they observe the terms and conditions of grants.

c. The Research Organisation must ensure that the research supported by the grant complies with all relevant legislation and Government regulation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence.

d. The Research Organisation is expected to adopt the principles, standards and good practice for the management of research staff set out in the 2008 Concordat to Support the Career Development of Researchers, and subsequent amendments www.researchconcordat.ac.uk. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation. It must ensure compliance with all relevant legislation and Government regulation, including any subsequent amendments introduced while work is in progress...

e. The Research Organisation must appoint a Research Fellow as an employee for the full duration of the award.

f. The Research Organisation must integrate the Research Fellow within the research activities of the host department, whilst ensuring that he or she is able to maintain independence and focus on their personal research programme.

g. The Research Organisation must notify the Research Council of any change in its status, or that of the Grant Holder, that might affect the eligibility to hold a grant.

h. The Research Organisation must ensure that the requirements of the Employing

Organisation under the Department of Health's Research Governance Framework for Health and Social Care (or equivalent) are met for research involving NHS patients, their organs, tissues or data, and that the necessary arrangements are in place with partner organisations. Where it also accepts the responsibilities of a Sponsor (as defined in the Governance Framework), it must also ensure that the requirements for Sponsors are met.

- i. The Research Organisation must ensure proper financial management of grants and accountability for the use of public funds.

GC 2 Research Governance

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

Research Ethics

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

Use of Animals in Research

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

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

The provisions of the Animals (Scientific Procedures) Act 1986, and any amendments, must be observed and all necessary licences must have been received before any work requiring approval takes place.

Medical and Health Research

The Research Organisation is responsible for managing and monitoring the conduct of medical and health research in a manner consistent with the Department of Health's Research Governance Framework for Health and Social Care (or equivalent). There must be effective and verifiable systems in place for managing research quality, progress and the safety and well-being of patients and other research participants. These systems must promote and maintain the relevant codes of practice and all relevant statutory review, authorisation and reporting requirements.

Research involving human participants or data within the social sciences that falls outside the Department of Health's Research Governance Framework must meet the provisions and guidelines of the ESRC's Research Ethics Framework. While this research may involve patients, NHS staff or organisations, it is defined as research that poses no clinical risk or harm to those who are the subjects of research. Research Organisations must ensure that appropriate arrangements are in place for

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independent ethics review of social science research that meets local research ethics committee standards.

Significant developments must be assessed as the research proceeds, especially those that affect safety and well-being, which should be reported to the appropriate authorities and to the Research Council. The Research Organisation must take appropriate and timely action when significant problems are identified. This may include temporarily suspending or terminating the research.

The Research Organisation is responsible for managing and monitoring statutory requirements for which it accepts responsibility, for example, in relation to legislation on clinical trials, use of human organs, tissues and data.

Guidance by the MRC on the conduct of medical research, and by ESRC on the conduct of social science research, provided on behalf of all Research Councils, must be observed.

Health and Safety

The Research Organisation is responsible for ensuring that a safe working environment is provided for all individuals associated with a research project. Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice recommended by the Health & Safety Executive. Appropriate care must be taken where researchers are working off-site. The Research Organisation must satisfy itself that all reasonable health and safety factors are addressed. The Research Councils reserve the right to require the Research Organisation to undertake a safety risk assessment in individual cases where health and safety is an issue, and to monitor and audit the actual arrangements made.

Misconduct and Conflicts of Interest

The Research Organisation is required to have in place procedures for governing good research practice that meet the requirements of the Research Councils' guidance on good practice. The Research Organisation must ensure that there are reliable systems and processes in place for the prevention of research misconduct e.g. plagiarism, falsification of data, together with well-defined and clearly-publicised arrangements for investigating and resolving allegations of misconduct. Where an allegation of misconduct arises in respect of a researcher supported by a research grant, the Research Council must be informed immediately and notified of the outcome of any investigation.

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

GC 3 Use of Funds

Subject to the following conditions, grant funds may be used, without reference to the Research Council, in such a manner as to best carry out the research. Grant funds are cash limited and the grant is made on the understanding that its value will not be increased, except as stated in these terms and conditions. Grant funds are provided for a specific research project. Under no circumstances may Directly Incurred and Exceptions funds be used to meet costs on any other grant or activity.

Any proposal to purchase an item of equipment in the last 6 months of the grant is subject to prior written approval by the Research Council. The Research Council will wish to be assured that the item of equipment is essential to the research.

GC 4 Starting Procedures

The start date shown on the starting certificate will be regarded as the start date of the grant. Submission of the starting certificate will also constitute acceptance of the grant, if no other acceptance procedure exists. The start of research may be delayed by up to 6 months (AHRC and ESRC 3 months) from the start date shown in the award letter, the duration of the grant remaining unchanged. The grant may lapse if it is not started within this period. Submission of the starting certificate is required not more than 42 days after the start date.

Where there are staff funded by the grant who were intended to be appointed from

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the start date, payments will take effect from the date when the first such staff start work. Otherwise, payments will take effect from the start date given on the starting certificate.

Expenditure may be incurred prior to the start of research and subsequently charged to the grant, provided that it does not precede the date of the award letter.

GC 5 Changes in Research Project

The Research Council must be consulted in the event of any major change in the proposed research, including failure to gain access to research facilities and services, or to gain ethical committee approval for the research, particularly those which make it unlikely that the objectives of the research can be achieved. If appropriate, revised proposals may be required. The Research Council reserves the right to make a new grant in place of the existing grant, or to revise, retain or terminate the existing grant.

GC 6 Transfers of Funds between Fund Headings

Transfers of funds between fund headings are permitted only within and between Directly Incurred costs and Exceptions. Transfers will be at the rate applicable for the heading, as set out in the award letter.

GC 7 Extensions

Research Grants: After a research grant has started, the duration may be extended by a total of up to 6 months, subject to prior written approval. Extensions may cover breaks or delays in the appointment of staff, periods of maternity leave, paternity leave, adoption leave, parental leave or paid sick leave exceeding 3 months (or possibly shorter periods of sick leave if the member of staff is disabled for the purposes of the Disability Discrimination Act 1995 (as amended)), or other exceptional circumstances with the agreement of the Research Council).

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

A written request for an extension should be made as soon as the requirement is identified and subject to prior written approval confirmed when the period required is known. All requests for extensions must be made before the grant ends.

GC 8 Staff

The Research Organisation must assume full responsibility for staff funded from the grant and, in consequence, accept all duties owed to and responsibilities for these staff, including, without limitation, their terms and conditions of employment and their training and supervision, arising from the employer/employee relationship.

The Research Organisation must provide research staff with a statement, at the outset of their employment, setting out the provisions for career management and development, including personal skills training, and ensure that they have access to appropriate training opportunities.

Provided it is related to the research project on which they are currently working, Research staff and Research Fellows may, during normal working hours, undertake teaching and demonstrating work, including associated training, preparatory, marking and examination duties, for up to an average of 6 hours a week (pro rata for part-time staff) calculated over the period that they are supported on the grant.

GC 9 Maternity, Paternity and Adoption Pay and Leave

Grant funds may be used for maternity, paternity and adoption pay for staff within the

Directly Incurred and Exceptions fund headings (excluding the Principal and Co-Investigators, unless they are also Research Fellows or Research Assistants funded by the grant), if staff fulfill the qualifying conditions of the Research Organisation.

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

The Research Organisation will be compensated at the end of the grant to cover the additional costs of either a substitute appointment or an extension of the grant from maternity, paternity or adoption leave. The salary of any substitute appointment must not exceed that of the individual on leave. The duration of a grant will be extended only if the period can be accommodated within the maximum period allowed for extensions. Directly Allocated and Indirect funds will not be increased as a result of such extensions.

Research Grants: Research Grant funds may be used to provide paid maternity, paternity and adoption leave only to the extent that it is taken during the original period of the grant. The Research Organisation will be responsible for any liability for maternity, paternity and adoption leave pay for staff supported by the grant outside the original period of the grant. If, for example, a grant ends while a member of research staff is part-way through her maternity leave, the Research Organisation will be responsible for that part of the maternity leave which is taken after the research grant has ended.

Fellowship Grants: Fellows are entitled to take maternity, paternity, adoption or parental leave in accordance with the terms and conditions of the fellow's employment. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of the Research Fellow for maternity, paternity, adoption or parental leave, and the period of the fellowship extended by the period of leave. Consideration will be given to requests to continue the fellowship on a flexible or part-time basis to allow the Research Fellow to meet caring responsibilities.

GC 10 Sick Leave

Grant funds may be used for paid sick leave for staff within the Directly Incurred and Exceptions fund headings (excluding the Principal and Co-Investigators, unless they are also Research Fellows or Research Assistants funded by the grant) who fulfill the qualifying conditions of the Research Organisation.

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

The Research Organisation will be compensated at the end of the grant for any additional costs or time resulting from sick leave, falling within the original period of the grant. The duration of a grant will be extended only if the period can be accommodated within the maximum period allowed for extensions. Directly Allocated and Indirect funds will not be increased as a result of such extensions.

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

Fellowship Grants: Fellows are entitled to take sick leave in accordance with the research organisation's terms and conditions. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of

the Research Fellow due to sick leave, and the period of the fellowship extended by the period of sick leave. The additional salary costs for the fellow (pro rata to their percentage FTE on the fellowship) should be claimed, as necessary, at the end of the extended period.

GC 11 Procurement of Equipment

The procurement of equipment, consumables and services, including maintenance, must comply with all relevant national and EU legislation and the Research Organisation's own financial policy and procedures. Accepted procurement best practice in the higher education sector must be observed. For all equipment and services where the contract value is more than £25,000, excluding VAT, professionally qualified procurement staff must be consulted before the procurement process begins, and, where appropriate, at the market research stage, and must approve the order/contract before it is placed with a supplier.

GC 12 Ownership and Use of Equipment

Equipment purchased from grant funds is primarily for use on the research project for which the research grant was awarded, and belongs to the Research Organisation. In certain circumstances the Research Council may wish to retain ownership throughout the period of the grant and possibly beyond. In such cases, the grant will be subject to an additional condition.

The Research Council must be informed if, during the life of the research grant, the need for the equipment diminishes substantially or it is not used for the purpose for which it was funded. The Research Council reserves the right to determine the disposal of such equipment and to claim the proceeds of any sale.

Any proposal to transfer ownership of the equipment during the period of the grant is subject to prior approval by the Research Council. After the research project has ended, the Research Organisation is free to use the equipment without reference to the Research Council, but it is nevertheless expected to maintain it for research purposes as long as is practicable.

Where there is spare capacity in the use of the equipment, the Research Council expects this to be made available to other users. Priority should be given to research supported by any of the Research Councils and to Research Council-funded students.

GC 13 Transfer of a Grant to another Research Organisation

The Research Organisation must notify the Research Council if the Grant Holder intends to transfer to another organisation. If this organisation is eligible to hold grants, and is able to provide a suitable environment to enable the project to be successfully completed, the expectation is that the grant would be transferred with the Grant Holder. Written agreement to this is required from both the relinquishing and receiving organisations.

The Research Council will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, the Research Council will consider withdrawing its support or terminating the grant.

Where there is a basis for continuing involvement by the relinquishing organisation, agreement should be reached between both organisations on the apportionment of work and the distribution of related funding.

Grants will not be re-costed following transfer. The unspent balance of Directly Incurred and Exceptions, together with a pro rata share of Directly Allocated and Indirect costs, will be transferred to the new Research Organisation. The receiving organisation will be required to confirm, by return of a starting certificate, that it will provide any balance of resources needed to complete the project.

GC 14 Change of Grant Holder

Research Grants: The Research Organisation must consult the Research Council if it

is proposed to change the Grant Holder, for example, following retirement or resignation. Where the Grant Holder is transferring to another organisation eligible to hold a grant, the provisions of GC 13 will apply. In other circumstances, the Research Organisation may nominate a replacement Grant Holder. The Research Council will wish to be assured that the replacement meets the eligibility criteria and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

Fellowship Grants: A fellowship grant is awarded on the basis of a named individual's suitability to undertake and benefit from the period of research: therefore changes to the Grant Holder are not permitted. The resignation of the Research Fellow, or the termination of their employment, constitutes the end of the grant for the purpose of submitting a final report and the Council's financial liabilities.

GC 15 Annual Statement

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

- a. expenditure has been incurred in accordance with the grant conditions, and
- b. those grants shown as current are continuing.

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

GC 16 Expenditure Statements

The Research Organisation must complete and return an expenditure statement within 3 months of the end date of a grant. Once an expenditure statement has been received and the expenditure incurred has been reconciled against payments made, it will be considered as final.

Expenditure shown in the Directly Incurred and Exceptions headings must show the actual expenditure incurred by the project. Settlement by the Research Council will reflect the proportion of REC stated in the award letter applied to actual expenditure, within the cash limit.

For the Directly Allocated and Indirect Costs headings, the Research Council will pay the amount shown as spent, within the cash limit, provided that the grant ran its full course. Where a grant is terminated more than 6 months before the planned end date, a pro rata share will be paid. Where a grant terminates within 6 months of the planned end date, estates and Indirect Costs will be paid in full, but Investigators' costs and Other Directly Allocated Costs will be paid pro rata.

Costs arising from maternity, paternity, adoption or sick leave should be identified in the Absence heading of the statement.

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

GC 17 Inspection

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

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

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

GC 18 Final Report

A report on the conduct and outcome of the project must be submitted by the Research Organisation within three months of the end of the grant, on the form provided. No further application from a Grant Holder will be considered while a final report is overdue.

If there are exceptional reasons that will prevent submission of the final report within the period allowed, a written request may be made, before the due date passes, for the submission period to be extended.

GC 19 Sanctions

The Research Councils reserve the right to impose financial sanctions where they identify areas of non compliance in relation to the terms and conditions of grants. Further details on the assurance requirements of the Research Councils can be found at www.rcuk.ac.uk/assurance.

If the final report or the financial expenditure statement is not received within the period allowed, the research council may recover 20% of expenditure incurred on the grant. All payments may be recovered if the report or statement is not received within 6 months of the end of the grant.

In relation to the current Quality Assurance and validation project for TRAC implementation in universities, the Research Councils reserve the right to apply sanctions of 75% of the non-compliant rate where an institution is found to be using rates which are materially inaccurate (>10% variance on any single rate). These sanctions would only apply to future applications although Councils may exercise a higher sanction where there has been evidence of significant overpayments to research organisation based on inaccurate rates.

GC 20 Public Engagement

It is the responsibility of the Research Organisation and the Grant Holder and Co-Investigators to communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest. Special schemes exist in some Research Councils providing additional support for these activities.

GC 21 Exploitation and Impact

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

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

Where the grant is associated with more than one research organisation and/or other project partners, the basis of collaboration between the organisations, including ownership of intellectual property and rights to exploitation, is expected to be set out in a formal collaboration agreement. It is the responsibility of the Research Organisation to put such an agreement in place before the research begins. The terms of collaboration agreements must not conflict with the Research Councils' terms and conditions.

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

The Research Council may, in individual cases, reserve the right to retain ownership of intellectual property (or assign it to a third party under an exploitation agreement)

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and to arrange for it to be exploited for the national benefit and that of the Research Organisation involved. This right, if exercised, will be set out in an additional grant condition.

Where the exploitation of research generates revenue, there should be suitable recognition and return to the Research Organisation and individuals. The Research Organisation must ensure that all those associated with the research are aware of, and accept, these arrangements.

GC 22 Research Monitoring and Evaluation

While it is the responsibility of the Research Organisation to manage the research, the Research Council reserves the right to call for periodic information on progress or to visit the project team. The Grant Holder may also be asked to attend meetings to exchange information and ideas with others undertaking research in the same or similar fields.

The Grant Holder must make all reasonable efforts, if so invited, to respond to requests for information or to attend events or activities organised by the Research Council concerning the research undertaken. Such events may be held after a grant has finished.

GC 23 Publication and Acknowledgement of Support

The Grant Holder should, subject to the procedures laid down by the Research Organisation, publish the results of the research in accordance with normal academic practice. Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the Research Council, quoting the grant reference number if appropriate.

Journal publications should acknowledge the funding source using the standard format agreed by funders and publishers and detailed in the additional information accompanying this grant.

GC 24 Disclaimer

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

Where studies are carried out in an NHS Trust, the Trust has a duty of care to its patients. The Research Council does not accept liability for any failure in the Trust's duty of care, or any negligence on the part of its employees.

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

The Research Councils reserve the right to amend the payment profile at its discretion. The Research Organisation will be advised, in advance, of any such a change but the overall value of the grant will not be affected.

If a grant is terminated, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted, but, subject to the provisions of GC16, negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grant.

GC 25 Status

These terms and conditions will be governed by the laws of England and Wales; all matters relating to the terms and conditions will be subject to the exclusive jurisdiction of the courts of England and Wales.

If any provision of these terms and conditions is found by a court or other legitimate

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body to be illegal, invalid or unreasonable, it will not affect the remaining terms and conditions which will continue in force.

These terms and conditions, together with any additional conditions set out in the grant, contain the whole agreement between the Research Council and the Research Organisation in relation to the stated research grant. The Research Council and the Research Organisation do not intend that any of these terms and conditions should be enforceable by any third party.

ADDITIONAL INFORMATION

SCHEME INFORMATION

Acknow

Acknowledgement of RC support

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

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

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

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

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

PSTUD

Project Students - Graduate Schools

Project students are eligible to attend a Research Councils' Graduate School free of charge, during the currency of the research grant. Details of the Graduate Schools Programme and application forms are available on the EPSRC website. Applications from project students should quote the grant reference number and give the name of the Principal Investigator.

www1

Final Report Summaries on the WWW

Standard Grant Condition RG24 requires Investigators to publish the results of their EPSRC funded research. In this context EPSRC considers that the World Wide Web (WWW) is one of the most effective information dissemination mechanisms available. Therefore, Investigators are encouraged to place a summary of their Final Report on their own web site at the same time as the Final Report is submitted to EPSRC.

SPECIFIC INFORMATION

This is a joint project between Newcastle University, (Professor J Hall EP/G061254), University College London (Professor M Batty, EP/G060983), University of East Anglia (Professor P Jones EP/G061211) and the University of Cambridge (Dr T Barker EP/G061378)

Project Code	Project Title	Project Status	Principal Investigator	Lead	Depa	Start Date	End Date	First Funder Name
R16118	Bench fee for Ramzahn Dambul	Project Archived	Professor Philip Jones	ENV		01/01/2008	30/04/2008	British Council (The)
R01857	SWURVE: Sustainable water uncertainty, risk and vuln Project Archived	Project Archived	Professor Philip Jones	ENV		01/12/2000	28/02/2004	CEC (Framework 1-5)
R01858	CLIWOC: Climatological database for the world's oceans Project Archived	Project Archived	Professor Philip Jones	ENV		01/12/2000	30/11/2003	CEC (Framework 1-5)
R01872	HOLSMEEER: Late Holocene Shallow Marine Environm Project Archived	Project Archived	Professor Philip Jones	ENV		01/01/2001	30/06/2004	CEC (Framework 1-5)
R02459	European and North Atlantic daily to multidecadal climt Project Archived	Project Archived	Professor Philip Jones	ENV		01/11/2002	28/02/2006	CEC (Framework 1-5)
R12401	GAP	Project Archived	Professor Philip Jones	ENV		01/09/2004	30/04/2006	CEC (Framework 6)
R12270	DeSurvey	Final Claim Submitted	Professor Philip Jones	ENV		11/03/2005	10/03/2010	CEC (Framework 6)
R15579	CLARIS LPB - Europe-South America Network for Clirr Live	Final Claim Submitted	Professor Philip Jones	ENV		01/10/2008	30/09/2012	CEC (Framework 7)
R14080	High-resolution climatic datasets	Final Claim Submitted	Professor Philip Jones	ENV		01/01/2006	28/02/2008	Council for the Central Laboratory of the Research Councils
R14792	Weather Generator for daily time series from the UK 2: Live	Project Archived	Professor Philip Jones	ENV		01/01/2007	31/12/2009	DEFRA
R14834	LINK - Climate Prediction Software for Impacts and Ad: Project Archived	Project Archived	Professor Philip Jones	ENV		01/02/2007	31/07/2008	DEFRA
R12737	River Flow Series from 1860s to present	Project Archived	Professor Philip Jones	ENV		01/02/2004	31/03/2004	Environment Agency
R13355	The Impact of Climate Change on Severe Droughts: In Project Archived	Project Archived	Professor Philip Jones	ENV		01/02/2005	31/03/2006	Environment Agency
R13516	Environmental Effects of Agriculture & Land Use: Wet Project Archived	Project Archived	Professor Philip Jones	ENV		01/02/2005	31/03/2006	Environment Agency
R02569	Construction of climate scenarios for the integrating fra Project Archived	Project Archived	Professor Philip Jones	ENV		01/04/2003	31/03/2006	EPSRC
R02571	CRANIUM: Climate change risk assessment: new Imp Project Archived	Project Archived	Professor Philip Jones	ENV		01/04/2003	31/05/2006	EPSRC
R14250	SKCC (Sustaining Knowledge for Climate Change): Project Archived	Project Archived	Professor Philip Jones	ENV		01/04/2006	31/03/2008	EPSRC
R14478	SCORCHIO: Sustainable Cities: Options for Respondir Final Claim Submitted	Project Archived	Professor Philip Jones	ENV		01/03/2007	31/08/2009	EPSRC
R15862	The use of probabilistic climate scenarios in building er Live	Project Archived	Professor Philip Jones	ENV		01/10/2008	30/09/2010	EPSRC
R16803	ARCADIA: Adaptation and Resilience in Cities: Analysi: Live	Project Archived	Professor Philip Jones	ENV		03/09/2009	02/09/2012	EPSRC
R16540	Development of Design Summer Guidance for London Project Archived	Project Archived	Professor Philip Jones	ENV		01/12/2001	30/11/2002	Greater London Authority
R02196	Development of radiosonde database and its use to st Project Archived	Project Archived	Professor Philip Jones	ENV		01/10/2003	30/09/2006	Meteorological Office
R12358	Investigating the role of surface vapour content change Project Archived	Project Archived	Professor Philip Jones	ENV		10/07/2004	31/03/2005	Meteorological Office
R13061	CRU involvement in the development of an improved g Project Archived	Project Archived	Professor Philip Jones	ENV		01/09/2001	28/02/2002	MERC
R01937	Investigation of the nature and causes of changes in M Project Archived	Project Archived	Professor Philip Jones	ENV		01/01/2005	30/04/2005	Scottish Environment Protection Agency
R13686	Scottish Temperature Indices	Project Archived	Professor Philip Jones	ENV		01/04/2001	31/06/2003	UMIST Venlures Limited
R02032	Accuracy of modelled extremes of temperature and clir Project Archived	Project Archived	Professor Philip Jones	ENV		01/05/1998	30/04/1999	US Department of Energy
R01220	Climate Data Analysis and Models for the Study of Nat Project Archived	Project Archived	Professor Philip Jones	ENV		01/05/2001	30/04/2004	US Department of Energy
R01977	Climate data and analysis from the study of natural var Project Archived	Project Archived	Professor Philip Jones	ENV		01/05/2004	30/04/2007	US Department of Energy
R13192	Climate Data and Analysis for the Study of Natural Vari Project Archived	Project Archived	Professor Philip Jones	ENV		01/05/2007	30/04/2010	US Department of Energy
R14702	Climate Data and Analysis for the Study of Natural Vari Live	Project Archived	Professor Philip Jones	ENV				

Supporting Document 13

NERC Research Grants 1999 – Funding Guidelines booklet



NERC Research Grants 1999

Edition 1999-1.3
January 2000

NERC Research Grants 1999

Edition 1999-1.3 (January 2000)

Changes since previous edition: add CAMR to list of Academic Analogues.

Foreword

This booklet sets out the regulations governing research grants awarded by the Natural Environment Research Council. It sets out the application procedures and eligibility requirements, outlines the funding and facilities available to grant-holders, and details the responsibilities of NERC, grant holders and institutions. The booklet focuses on grants awarded through the NERC Non-thematic (formerly 'responsive') and Thematic modes. Separate booklets deal with NERC studentships and fellowships.

NERC reserves the right to amend these regulations at any time and without prior notice. The regulations in effect at any time will be those contained in the most recent version of this booklet, available on the NERC website at: <http://www.nerc.ac.uk/awards/forms.htm>. Separate booklets are available at this website which cover the regulations for NERC Fellowships and NERC Studentships.

Contact Points

Further information on NERC grants can be obtained from the NERC website, <http://www.nerc.ac.uk/awards/index.htm>. The NERC staff listed below can also provide advice on policy, the administration of awards or on specific scientific issues. The NERC complaints procedure is outlined in Section I.

Name	Area of Responsibility	Contact Details Tel: (01793) 41 + extn Email: username@nerc.ac.uk
Ms L Rowland	Non-thematic Research Grants Awards	x 1663 lnr
Mrs K Ritson	Non-thematic Research Grants Awards	x 1563 krit
Mrs S Furness	Profiled Payments and End-of-Grant Arrangements	x 1556 saj
Miss S Francis	Evaluation	x 1657 sf
Mr A Adams	General Policy Issues	x 1736 anad
Mr D Slade	General Policy Issues	x 1741 dasl
Mr J Aland	General Award Finance and Administration	x 1629 jeal

Name	Area of Responsibility	Contact Details Tel: (01793) 41 + extn Email: username@nerc.ac.uk
Mr S Loader	Atmospheric Sciences Peer Review Committee	x 1567 scl
Dr A Meredith	Earth Sciences Peer Review Committee	x 1675 adme
Dr R Quinn	Freshwater Sciences Peer Review Committee	x 1512 rq
Dr M Roberts	Marine Sciences Peer Review Committee	x 1632 msrob
Dr G Lambourne	Terrestrial Science Peer Review Committee	x 1796 glam
Dr L Aspinall	Thematic Programme Administration	x 1536 liho
Dr A McFarlane	Thematic Programme Administration	x 1777 ammcf
Dr S Ruth	Schemes Policy (Non-thematic grants, training and fellowships)	x 1665 saru
Dr E Thorpe	Schemes Policy (JIF, JREI, ROPA and other external schemes)	x 1751 keth
Ms J Parker	Programme Management Coordinator	x 1651 jmp
Dr L Kay	Head of Schemes Policy	x 1600 rlfk
Mr D Brown	Director of Science Programmes	x 1797 dab

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Section A - INTRODUCTION

General Principles

1. The NERC research grants schemes are intended to provide financial support for environmental scientists to conceive and develop their own projects in UK universities and other approved institutions. The scientific research carried out under NERC research grants should be innovative and of the highest quality, and must fall within the NERC scientific remit (see Annex D).
2. Research grants support the direct costs of carrying out the research, including funding for research support staff, but the Institution where the grant is held is expected to provide the basic infrastructure required and to fund academic salaries. The grant will include an additional contribution for the indirect costs incurred by the Institution, at a rate of 46% of all funded staff costs.
3. Awards are made to eligible scientists or groups of scientists ('Investigators'), for a specified period and to carry out a defined programme of research. The Investigators must be personally engaged in the research. Awards can be made:
 - to allow the Investigator(s) to enter promising new fields of research
 - to take advantage of developments in theory, practice or instrumentation applicable to environmental research
 - to allow Investigators to visit a recognised centre abroad, for example to study a particular technique
 - to invite senior scientists to visit the Investigator's own institution to provide advice and assistance in their own area of expertise.
4. All applications will be assessed through independent scientific peer review. In evaluating proposals and selecting the best research, NERC uses the knowledge, advice and expertise of five Peer Review Committees (PRCs). The remits of the PRCs are set out in Annex D.
5. Award-holders will be given the freedom to develop the work in their own way, but NERC is obliged to retain adequate control over the use of public funds. Whilst there will be scope for flexibility in planning and executing the research, major changes from the programme originally proposed will need NERC's prior approval.
6. NERC is committed to increasing public awareness and public understanding of the science it supports. The obligations and expectations for all applicants are set out in Section C.
7. NERC encourages collaborations between scientists in eligible institutions, and all applicants should consider the possibility of collaboration with other scientists in the UK and overseas when formulating proposals. Part of the assessment of a proposal will be based on the relationship with similar work being carried out elsewhere, and whether full advantage will be taken of opportunities for consultation and cooperation.

The NERC funding modes

8. NERC funding is divided into four main categories ('modes'), which are described below. This booklet is concerned chiefly with awards made under the Non-thematic mode, although most of the regulations also apply to funding provided through the Thematic and Core Strategic modes. Prospective applicants for Thematic or Core Strategic funding are strongly advised to contact the appropriate NERC Programme Administrator or other named contact

before applying (names and details will be found on the NERC website or in the Announcement of Opportunity for the programme).

9. **Non-thematic funding** fosters excellence by supporting curiosity-driven research, training and technology development, in areas selected by applicants.
10. **Thematic funding** encourages scientific excellence and contributes to wealth creation and quality of life through basic, strategic and applied science, technology development, and training within selected themes. These themes are identified in the NERC Council's strategic planning, including inputs from Technology Foresight.
11. **Core Strategic funding** is typically long term and maintains expertise and knowledge in key areas of the environmental sciences determined by the NERC Council. It supports excellent and relevant research, survey and monitoring, technology development and the creation, interpretation and supply of environmental data. It aims to meet current needs and to form a basis for meeting future priorities.
12. **Infrastructure funding** provides essential support, equipment, services and facilities for the NERC community. This includes the services and facilities outlined in Section H.
13. More information on specific NERC Core Strategic and Infrastructure activities can be found on the NERC WWW pages or in NERC publications such as the *NERC Strategic Plan* or *NERC at Work*, which are available on request from the NERC Policy and Communications Directorate (tel (01793) 411750, email nerccomm@nerc.ac.uk).

Section B – TYPES OF AWARD

14. NERC supports a number of grant schemes, each designed to support high quality curiosity-driven research. Whilst the exact conditions and closing dates vary, applicants for all of the schemes outlined below must meet the eligibility criteria set out in Section D, and funding will only be available for the categories of expenditure outlined in Section E.

Standard Research Grant

15. Standard research grants are for a minimum of £35,000 and usually provide funding for up to three years (although applications for grants for longer periods will be considered).
16. The closing dates for applications are **1 July and 1 December**, and following peer review applications are considered at the Peer Review Committee meetings in October and March respectively. Investigators will be notified of the outcome of their application within five months of the closing date.

Small Research Grant

17. Small research grants provide funding of between £2,000 and £35,000 (including indirect costs), usually for small discrete projects, proof-of-concept studies or pump-priming exercises.
18. The closing dates for applications for small grants are **1 February, 1 June and 1 October**. Investigators will be notified of the outcome of their application within four months of the closing date.

Competition for New Investigators

19. An additional small grants competition is held each year (closing date **1 February**) for New Investigators, i.e. for Investigators at the outset of their scientific career who are within five years of first becoming eligible to apply for NERC funding as a Principal Investigator (see section D). Applicants must be the sole Investigator, and may submit up to two applications per competition (or alternatively may make a second application to the Small Grant scheme as a Co-Investigator).
20. New Investigators are also free to apply to any of the other NERC grants schemes, but in these they will be assessed in open competition with all other applicants.

Environment and Health

21. The joint Medical Research Council and NERC *Environment and Health* grants scheme supports research in the relationship between human health and the environment. Bids must be submitted jointly by environmental and medical scientists. Further details are available at <http://www.nerc.ac.uk/science/mrc.html>. There are no closing dates for the scheme.

CONNECT A and B

22. The CONNECT Scheme is aimed at fostering new partnerships with industry, commerce, business or public sector agencies.
23. **CONNECT A** provides funding of up to £5,000 for short research projects, pump priming activities, workshops or seminars involving the science base and industry. Applications to the CONNECT A scheme can be submitted **at any time**.
24. **CONNECT B** provides, through a standard grant, funds to match a contribution from a

collaborative partner. The partner's contribution may be financial or in kind. The closing dates for applications are **1 July and 1 December**, and applications will be considered alongside those for other standard grants.

25. NERC's participation in the **Ministry of Defence/Research Councils Joint Grants Scheme (JGS)** is through the CONNECT B scheme, with the MoD or DERA as the collaborative partner.

Long-Term Support

26. Limited funding is available to provide longer term support for programmes of work undertaken by Principal Investigators in two categories:
- environmental scientists with a proven record of attracting NERC grants (eight - ten years of continuous support) and who have made a significant impact in their field
 - New Investigators within five years of first becoming eligible for NERC support as a Principal Investigator.
27. Support will be provided for up to five years. Recipients of long-term support awards may not normally apply for standard or small Non-thematic awards in the same field until 12 months before the end of the award. They may, however, apply for funding through the NERC Thematic or Core Strategic modes at any time.
28. Applicants (as sole Principal Investigator) will first be required to submit a short outline proposal, with evidence of previous funding secured and significant publications. These will be considered by Peer Review Committees, and successful applicants will be invited to submit a full-length proposal
29. Full proposals will be peer reviewed and then assessed by the relevant Peer Review Committee(s). The PRC also has the option of recommending that the award of a standard grant would be more appropriate for the proposed research.
30. The closing dates for outline bids are **15 February and 15 September**. Subsequent full applications must be received by **1 July or 1 December**.

Urgency Applications

31. Exceptionally, a research grant application may be submitted at any time for rapid consideration under an urgency procedure. This is permitted only in cases where the application has been prompted by an unexpected and transient scientific opportunity (e.g. earthquake, drought, temporary exposure, short-timescale event in an ecosystem etc), and where conforming to the timetable for the normal consideration of grant applications would result in the opportunity being missed. Time-limited logistical events, such as an unforeseen opportunity to participate in a particular experimental or observational programme, the availability of staff or facilities, etc, will not be accepted as grounds for urgency.
32. Prospective applicants must first contact the appropriate Peer Review Committee secretary before submitting a proposal for consideration under the urgency procedure.

Extensions

33. An application for a funded extension to an existing or previous research grant must be submitted as a new proposal and must demonstrate that the request is for funding a direct development of, but not a supplement to, the earlier work. Applications for extensions will be considered in competition with other applications for funding.

34. Extensions to small grants are not permitted, although the results of a small grant may lead to an application for further funding through a standard or other grant. Small research grants are awarded for defined programmes of research, and are not intended solely to extend the period of employment of a research assistant once a standard research grant has ended.
35. NERC may, in exceptional cases, permit a short time-only extension to an award. This may occur only where unforeseen circumstances have severely affected the progress of the work (e.g. loss of key staff, external factors leading to the rescheduling of fieldwork/ship time etc), and is not intended to allow the pursuit of new avenues of enquiry.

Tied Studentships

36. An application for a standard grant (including CONNECT B) may include a request for funding for one or more 'tied' research students. Eligibility requirements for tied students are the same as for other NERC studentships - see the NERC Studentships booklet (on the NERC website) for further details.
37. Tied students are not permitted in small grants.

Joint Infrastructure Fund

38. As part of the Comprehensive Spending Review announcements, the Wellcome Trust, the Office of Science & Technology and the Higher Education Funding Council for England have created the £700m Joint Infrastructure Fund (JIF) which seeks to transform the scientific research environment within UK universities.
39. The Fund is divided into two parts: Life Sciences covered by the remits of NERC, the Wellcome Trust, BBSRC and MRC; and, Physical, Engineering and Social Sciences covered by the remits of NERC, EPSRC, ESRC and PPARC. It covers all elements of research infrastructure: the whole spectrum of research equipment and infrastructural research facilities; new scientific research buildings; and, refurbishment of laboratory and research related space.
40. The Fund is open to UK universities which receive funding from the Higher Education Funding Councils and the Department of Education for Northern Ireland and are full members of the Committee of Vice-Chancellors and Principals.
41. The NERC research community is unique in that it is able to bid into both the Life Sciences arm and the Physical, Engineering & Social Sciences arm of the scheme. If the thrust and greater proportion of the total bid (the life science **and** physical science components) is fully within NERC's remit, then it should be submitted to NERC on Research Council forms. Bids that are totally biomedical/life sciences must be submitted to the Wellcome Trust on the Trust's on-line application form.
42. For more details please refer to the NERC website (<http://www.nerc.ac.uk/jif/>).

Joint Research Equipment Initiative

43. The Joint Research Equipment Initiative (JREI) is an annual competition run by the Research Councils, the Higher Education Funding Councils for England, Scotland and Wales, and the Department of Education for Northern Ireland (DENI). The aim of the JREI is to contribute to the physical research infrastructure and to enable high quality research to be undertaken, particularly in areas of basic and strategic priority for science and technology, such as those identified by Foresight.
44. Funding is based on the principle of best affordable mix; that is, the collection of bids that represents best overall value to the respective funding body while maintaining scientific

excellence.

45. The essential requirements are that bids must be for research equipment, must have external sponsorship and must request a minimum of £12,500 from the JREI. Applications seeking less than 50% of the total cost of the bid from the JREI are particularly encouraged.
46. The initiative is run as two competitions:
 - Competition A - to fund bids for scientific and engineering research equipment requesting up to £150,000 from the JREI. This competition is funded and run through five of the Research Councils: BBSRC, EPSRC, MRC, NERC and PPARC. Applications should be made to the most appropriate of these Research Councils.
 - Competition B - to fund bids for research equipment requesting over £150,000 from the JREI. This competition is to be funded by the Higher Education funding bodies. Applications should be sent to the most appropriate of the six Research Councils.
47. Both competitions are open only to researchers in a UK higher education institution funded by either a Higher Education Funding Council or DENI. Applications will be peer reviewed by the appropriate Research Council. The annual closing date for receipt of applications for the JREI is **31 May**.
48. The rules, application form and frequently asked questions are available via the HEFCE website at <http://www.hefce.ac.uk/>.

Realising Our Potential Awards

49. The ROPA scheme is intended to reward researchers who receive substantial financial support from UK private sector industry and commerce for basic or strategic research. The scheme aims to catalyse and enhance future opportunities for collaboration of the science and engineering base with UK industry and commerce by providing additional funding for basic research. ROPAs are particularly suitable for "pump-priming" new or highly speculative areas of research and are usually of modest size, lasting 18 - 24 months. ROPAs are NOT collaborative projects, although it is expected that a proportion of them will function as seedcorn for future collaborations.
50. Proposals must satisfy originality and feasibility criteria. Applications are invited from researchers in Universities and in Research Councils' institutes, units and establishments. Other researchers may apply if their establishments are currently eligible for Research Councils' responsive mode grants. The annual closing date for ROPA applications within the NERC remit is **1 September**.
51. For further information please see the OST website, <http://www.dti.gov.uk/ost/ostbusiness/index.htm>.

Thematic Programmes

52. Thematic awards are generally made under the same terms and conditions as Non-thematic grants. Thematic programmes are widely advertised in the scientific press and on the NERC website. The Announcement of Opportunity for each programme will give details of the funding available, closing dates and contact details for further information. The Programme Administrator will be able to provide advice on the specific terms and conditions that apply to that programme.

Section C - TERMS AND CONDITIONS

General

53. Applications for NERC research grants are only accepted from eligible Investigators, and grants may be held only at eligible institutions. **The eligibility criteria set out in this booklet must be met in full on the closing date for the round in which the application will be considered, and any application that does not meet the eligibility criteria will be rejected.** Prospective Principal Investigators are strongly advised to consult NERC before submitting an application if any aspect of the eligibility of the Investigator(s) or institution is open to doubt.
54. NERC reserves the right to reject any application which is considered to be ineligible, and the final decision on the eligibility of an application rests with NERC. Where an application is judged to be ineligible, NERC will inform the Principal Investigator within 20 working days of receiving the application and will give full details of the reason for the decision.
55. Where a project will be carried out by more than one Investigator the application should be submitted jointly in the name of the Principal Investigator and the Co-Investigator(s). The Principal Investigator will take the lead in conducting the research and will be responsible for ensuring that the terms and conditions for the grant are met (for example the Principal Investigator is responsible for providing the final report).
56. The Principal Investigator's institution will normally be the administering institution, but NERC will allow a standard grant to be split between a maximum of four departments/institutions for financial purposes. Where the Principal Investigator wishes this to be done, a separate financial summary must be provided for each department/institution, and the individual departments must each provide the appropriate authorisation. The minimum sum that can be awarded to an individual department/institution is £5,000. Small Grants may not be split in this way.
57. Where an award is split between departments, each department will receive the appropriate credit in the studentship algorithm.
58. The Principal Investigator must request NERC's prior approval for any significant changes to the work carried out under the grant or to the staff or resources used. Specific requirements are outlined in the following sections, but Principal Investigators should consult NERC in any other instances where the research programme is likely to differ substantially from that for which funding was originally awarded.
59. NERC reserves the right to terminate an award at any time if the conduct of the award-holder(s) in carrying out the research is found to be unsatisfactory or contravenes the conditions under which the award was made.
60. Employers of staff funded through NERC research grants must observe and implement the terms of the 1996 "Concordat to Provide a Framework for the Career Management of Contract Research Staff in Universities and Colleges", signed jointly by the Research Councils, the Royal Society, the British Academy and the Committee of Vice Chancellors and Principals. The Concordat is available on the WWW at <http://www.nerc.ac.uk/awards/concorda.htm> and further details of the Research Careers Initiative can be found on the CVCP website, <http://www.cvcpl.ac.uk>.
61. NERC expects institutions to adopt best practice in the procurement of capital equipment, goods and services, in accordance with the guidance issued by the Joint Procurement and Strategy Group (see <http://www.uwcm.ac.uk/uwcm/pr/jppsg/>).

Announcement of Award

62. When an award is to be made, a formal offer will be made to the Institution containing details of the funding available and any terms and conditions. The announcement will be accompanied by a starting certificate and a schedule of payments. The Institution must accept or decline the award within 4 weeks of receiving the offer.
63. Where the funding offered is significantly lower than that requested, the Principal Investigator will be invited to revise the scope of the proposal in line with the PRC's recommendations. If the Principal Investigator is unable to do this to NERC's satisfaction, or is not prepared to accept the reduced award, the offer will be withdrawn.
64. The award letter will show the proposed start and end dates of the award. The start date may be postponed by up to six months, but if the start date is due to be delayed NERC must be informed at least one month before the original start date. Permission must be sought from NERC for the start date to be delayed by more than six months. An award will usually be withdrawn if it has not started within one year of the original start date (except where the delay is due to sea-time scheduling).
65. When a tied studentship has been awarded, the student's supervisor must submit a studentship nomination form providing details of the student, training and project. The eligibility of a nominated student cannot be assumed until the student has been accepted by NERC and has received a formal offer of funding.

Responsibilities of Award-Holders and institutions

66. NERC research grants support research in which the Principal and any Co-Investigators are engaged personally, and awards are made to the Institution(s) at which the work is to be undertaken. NERC must be notified immediately if an Investigator resigns, retires, is made redundant, or transfers to another institution.
67. If during the life of a grant an Investigator takes up an appointment at another institution, NERC may allow the remainder of the award to be transferred to the new institution. Permission should be sought in writing, well in advance of the proposed transfer, and the Heads of Department and the administrative authorities concerned must provide written agreement. The new institution must offer a suitable scientific environment for the completion of the research, and must undertake to make adequate provision for the career development of contract research staff, in accordance with paragraphs 14 – 17 of the Concordat.
68. If an Investigator retires or resigns and does not take up another post at an institution eligible to receive research grants, support for the research project will be reviewed and may be terminated. Proposals for the continuation or completion of the research will be considered on their own merits.
69. The Institute is responsible for the safety of any equipment funded through a NERC grant. The equipment must be insured, operated and protected to the same extent as any other equipment that the Institution owns. NERC is not liable for any costs arising from the misuse, loss or damage of such equipment.

Publication of Work

70. All NERC award-holders are expected to publish the results of their research in the appropriate journals. They are, however, invited to consult NERC if other arrangements seem desirable. All published papers must acknowledge any support received from NERC and cite the award reference number(s).

Public Understanding of Science

71. NERC is committed to increasing public understanding and public awareness of science, and expects award-holders to take an active role in promoting and developing this policy. NERC award-holders are therefore encouraged to take part in national or local initiatives focused on promoting public understanding of science. The NERC Policy and Communications Directorate (tel: (01793) 411623, email: nerccomm@nerc.ac.uk) can provide help and advice in this area.

Intellectual Property

72. Scientific research gives rise to inventions such as new devices, materials and processes, ideas, know-how and other results which are often manifest as data. Such products are referred to as Intellectual Property. It is the NERC's policy that any such Intellectual Property generated from NERC supported research should be exploited.
73. Arrangements should be made to identify, protect and value any arising Intellectual Property and to secure a suitable return to the Institution and the Investigators through exploitation. Ownership of any Intellectual Property should be clearly set out before the start of any collaborative work and should be clarified prior to exploitation. Dual or multiple ownership should be avoided.
74. Grant holders must notify the NERC Awards and Training Section when NERC-funded Intellectual Property is exploited.
75. Copies of the booklet, *Intellectual Property Rights in Brief / NERC Intellectual Property Exploitation Policy in Brief*, the *NERC Handbook on Intellectual Property Management*, or advice on specific issues of intellectual property can be obtained from the NERC Partnerships and Innovation Directorate, email: pid@nerc.ac.uk, tel: (01793) 411500.
76. The NERC Data Centres (Annex B) will give advice on issues relating to copyright, licensing and exploitation of datasets. NERC policy in this area is described in more detail in the *NERC Data Policy Handbook*, available from The NERC Data Strategy Group, email: data-strategy@nerc.ac.uk, tel: (01793) 411683, or see <http://www.nerc.ac.uk/environmental-data>.

Permission for Research and the Use of Animals

77. Applicants who intend to undertake research work on private or Government property should consult the owner or organisation responsible, e.g. the Forestry Authority, the Ministry of Defence, etc, before submitting an application to the NERC. Similarly, applicants intending to undertake fieldwork overseas must ensure that they have the necessary documentation and permissions.
78. The Investigator(s) and host institution(s) must ensure that all research work funded through a NERC research grant complies with all relevant Government regulations. NERC will not be liable if an award-holder is found to be in breach of such regulations.
79. When the use of animals cannot be avoided, Investigators are expected to use the minimum number of animals that will give valid results. All general and local regulations about the use of experimental animals must be observed. Responsibility for obtaining a Home Office licence lies with Investigators and host institutions.
80. There are no formal restrictions or embargoes on countries that have not signed the treaties on the non-proliferation of weapons of mass destruction (nuclear, biological and chemical weapons). However, a voluntary vetting scheme operates through the Ministry of Defence, covering researchers in relevant scientific areas from a number of countries of concern. Participation in the VVS is the responsibility of the Institution.

81. Applicants and award-holders should be aware of the joint statement by the Director General of the Research Councils and the Chief Executives of the Research Councils on "Safeguarding Good Scientific Practice". The statement is available on the NERC website at: http://www.nerc.ac.uk/science/good_practice.html.

Data Availability

82. NERC believes that datasets collected as a result of projects are an important resource which must be adequately managed. Investigators should therefore make sure that a NERC Designated Centre (ANNEX B) is aware of any significant datasets to be compiled as a result of their projects, so that the long-term future of these data can be planned. At the end of an award Investigators are required to offer the appropriate Data Centre a copy of any dataset generated, so that the data can be made available for other researchers. The Intellectual Property Rights to the data need not be transferred.
83. NERC reserves the right to access all unpublished papers, records, data or collections resulting from the work carried out under a grant, some of which may be required to be deposited with NERC. Similarly NERC reserves the right to use information on the outcome of awards to report on achievements e.g. in Annual reports. NERC may, at any time, require detailed information on the results of work funded through grants for use in scientific or financial audits.

Financial Conditions

84. institutions must ensure that the funds awarded for a particular research programme are used to support that programme.
85. Grants are cash-limited from the outset, and NERC will not accept any request for additional funding, except within the provisions of paragraphs 25 and 26 of the Concordat (concerning maternity and sick leave). The award will include funding for future pay awards and inflation based on current Government estimates, excluding costs awarded for equipment.
86. **Any commitment incurred before a research grant is formally announced, or any commitment in excess of the amount awarded, is the responsibility of the Institution.**
87. Any additional work following on from an existing grant must be the subject of a new application. NERC will not supplement an existing grant.

Payments

88. Payments will normally be made to institutions under the Research Councils' Profiled Payments procedures, as follows:
- Payments will be made according to the schedule attached to the announcement letter. They will not start until the Starting Certificate has been completed and returned to NERC, confirming that work on the research grant has started. The Starting Certificate must be returned within 28 days of the beginning of the award.
 - Payments will normally be made on the 15th day of the final month of the quarter, plus or minus 30 days.
 - A single payment will be made to the Institution for all grants held, and this will be accompanied by a Customer Account showing details of the payment.
 - Payment for the purchase of equipment will normally be made in the second quarter after the beginning of the research grant. No allowances will be made for future inflation, and it is expected that equipment will be purchased during the first 12 months of the

grant.

- An Annual Statement will be provided after the end of each financial year summarising the payments made during the year. The Institution and NERC must agree on the content of the Annual Statement before regular quarterly payments can continue.
- The Institution must submit a Final Statement of Expenditure, and the Principal Investigator must submit a final report (see Section G), not later than three months after the end of the grant. The final installment will not be paid until each of these has been received.
- NERC will recover the entire value of the grant if the Final Statement of Expenditure has not been received within six months after the end of the grant (except where NERC has given prior agreement to a postponement).

Financial Propriety

89. NERC reserves the right to examine, in detail, all items of expenditure charged to an award, and in addition will visit selected institutions as part of the cross-Council Dipstick Test Initiative.

Transfer of Funds between Headings (Virement)

90. Prior approval must be sought from NERC for any transfer of funds between headings which exceeds 20% of the expenditure awarded under one of the headings. NERC must also be consulted prior to the transfer of smaller amounts where this leads to a significant change to the grant, for example where an Investigator wishes to replace a tied student with a research assistant. Virement is not permitted for:
- Indirect costs
 - Major capital items
 - Superannuation costs.
91. Where the expenditure on staff costs is increased, the appropriate amount must be transferred to indirect costs and superannuation. Where expenditure on staff costs is decreased, the award-holder must refund NERC with the appropriate amount for indirect costs and superannuation. Funds awarded for superannuation but not spent on superannuation must be declared to NERC and will be deducted from the award.
92. The award-holder must provide a full explanation in the final report of any instances in which the proposed and actual expenditure under a particular heading differ by more than 20%.

Employment of Staff

93. NERC regards the Institution as the employer of all staff engaged on projects funded by NERC research grants. The Institution therefore has statutory responsibility under Health and Safety legislation for anyone appointed in that institute under any grant supported by NERC. NERC does not accept any responsibility or liability for staff engaged in such research, and will not indemnify an institution against any claims for which it may become liable as employer and/or occupier of premises (e.g. for damages or personal injury). Similarly NERC will not be liable under any circumstances for any claim for unfair dismissal or redundancy payments arising out of the appointment to a post funded from a NERC grant.
94. There is no barrier to the recruitment of scientific staff from overseas, provided that they have permission to work in the United Kingdom. The Institution is solely responsible for the procurement of work permits.
95. All research assistants and other staff recruited on NERC research grants are normally

considered to be fixed term appointments, although this will depend on the practices in place in the Institution. All appointments may be full or part-time as appropriate. Staff funded through a NERC research grant must be appointed on the same terms and conditions as staff in equivalent posts in the Institution, and NERC's prior approval must be sought before an appointment is made on any other conditions.

96. The grant will include funding for the salaries, National Insurance and superannuation costs for staff to be supported by the award. Where individuals opt for a personal pension plan (in place of their employer's scheme), NERC will normally meet the cost of this, provided the cost does not exceed the USS/JSS contribution.
97. NERC will provide funding for salaries for university staff on the basis of spine points on the National Salary Scales issued by the UCEA for research assistants in relevant higher education institutions, and will include an element of funding for future pay awards based on current Government estimates.
98. Where grant proposals include provision for named staff, NERC will normally offer support at the scale point requested; however, an offer of support at an alternative level may be made if that is considered more appropriate. In the case of unnamed Postdoctoral Research Assistants and Postgraduate Research Assistants, support will be awarded at spine point 6, grade point 4. NERC will not fund the salaries of staff considered to have been appointed on an inappropriate scale (for example, a Postgraduate Research Assistant may not be appointed on the Postdoctoral Research Assistant scale without first having been awarded a PhD/DPhil). Any anticipated funding for promotion and merit pay which is unspent (or not awarded) by the Institution, will be reclaimed by NERC.
99. The costs of paid maternity and sick leave for contract research staff can be charged to the grant as follows:
 - A substitute appointment may be made, provided that the direct salary costs of a replacement do not exceed those of the member of staff on maternity leave. Where the costs for the provision of paid maternity leave and/or a replacement member of staff exceed the value of the grant, NERC will meet the additional costs as part of the financial reconciliation process at the end of the grant (Concordat, paragraph 25).
 - If a period of sick leave is likely to be greater than thirteen weeks and the absence of the contract researcher is likely to delay the completion of the project, the Principal Investigator may seek NERC's approval for a temporary replacement. Where the cost of the replacement cannot be met entirely from the grant, NERC will meet the additional costs as part of the financial reconciliation process at the end of the grant (Concordat, paragraph 26).
100. The Institution must inform NERC as soon as possible of all appointments made, the rate of remuneration and the date of incremental increases. In cases when the identity of a research assistant was unknown at the time of application, the Institution should also forward a full curriculum vitae as soon as the research assistant is appointed.
101. NERC should be consulted about adjustments to salaries of staff required to undertake teaching or demonstrating work, or part-time employment on work not funded through the research grant.
102. NERC must be notified of all staff appointed to a NERC research grant who register for a higher degree.
103. NERC cannot provide funding for the payment of fringe benefits, e.g. removal expenses, which may be included in the normal terms of appointment of the Institution.

Extensions

104. If the progress of a grant has been affected by issues which could not have been foreseen at the time it was awarded, NERC may consider allowing a **no-cost** extension to the duration of the grant. Such requests should be submitted in writing following consultation with the appropriate Peer Review Committee secretary or, for a thematic programme, the Programme Administrator.
105. A research grant may also be extended to cover periods of maternity or sick leave for contract staff, in accordance with paragraphs 25 and 26 of the Concordat.

Early Termination of Award

106. NERC normally expects a project funded by a research grant to continue until the end of the period for which the award was made. However, NERC reserves the right to terminate the grant at any time before the end of the award. Where this becomes necessary, NERC will provide reasonable advance notice and will provide sufficient funding to cover any outstanding and unavoidable commitments.
107. If an institution is unable to meet the conditions issued at the time of award, for whatever reason, then it may be required to relinquish the award. Similarly, an award may be relinquished voluntarily if the Principal Investigator encounters difficulties in carrying out any part of the research project.

Section D - ELIGIBILITY

Principal Investigator

108. The Principal Investigator on the application must:

- be a member of the academic staff of an eligible UK university, college or other higher education institution, or a member of the established staff at a NERC Centre/Survey or academic analogue (see below and Annex C) or the holder of a Research Council, Wellcome or Royal Society fellowship;

and

- hold a tenured post, or be able to demonstrate that his/her employment is guaranteed until after the end date of the grant. If a potential Principal Investigator holds a fixed-term appointment that is due to end before the grant is complete, the Head of Department must guarantee that his/her salary will continue to be funded in full for the duration of the grant. Exceptionally, NERC fellows who do not have this guarantee may apply for funding as a Principal Investigator provided the application is submitted jointly with at least one eligible Co-Investigator from the same department.
109. Holders of prestige fellowships awarded by other bodies should consult NERC *before submitting an application* to establish whether they are eligible to apply as a Principal Investigator.
110. Subject to NERC's prior approval, holders of certain senior non-stipendiary posts (e.g. Visiting Professor, Professor Emeritus etc) and scientists who have retired recently from the academic staff of an eligible institution may be eligible to apply for funding as a Principal Investigator.
111. Where the Principal Investigator is retired (or will retire before the end of the grant), or holds a senior non-stipendiary post, the Head of Department must undertake to provide the necessary support, facilities and infrastructure until the grant is completed.
112. NERC may request further clarification that an individual is eligible to apply as a Principal Investigator. Evidence that the Principal Investigator is a member of the academic staff at a higher education institution may include their employment under the terms and conditions for academic (but not academic-related or research-related) staff, or a statement from the university authorities confirming their status as a member of the academic staff. Research assistants, technicians and other support staff in HEIs are not eligible to apply.
113. The salary of the Principal Investigator cannot be funded through the grant, and an individual whose salary is funded through a NERC or other Research Council research grant is not eligible to apply for funding as a Principal Investigator.
114. Staff in NERC Centre/Surveys at any grade may apply as Principal or Co-Investigators, provided their salary costs are not met from an existing research grant.
115. NERC will not accept applications from an Investigator if final reports on current research grants are overdue or s/he is subject to sanctions due to a previous final report having been graded unsatisfactory. Where a final report is overdue the applicant is barred from submitting any further application until the overdue report is received. In cases where a final report is graded unsatisfactory the Investigator will be banned from submitting further applications for a specified period (see also Section G).

Co-Investigator

- 116. Any Co-Investigator must meet the eligibility criteria for a Principal Investigator, and should be able to take over from the Principal Investigator if required.
- 117. Where an award is split between institutions, the application must name at least one Investigator from each.

Recognised Researcher

- 118. A researcher who is not eligible to apply as a Principal Investigator, but who has made a substantial contribution to the development of the application and who will be closely involved with the project if it is funded, may be named as a Recognised Researcher on the application.
- 119. The Recognised Researcher should normally be employed by the same institution as the Principal or a Co-Investigator. Funding cannot be allocated directly to the Recognised Researcher's department if this is not the case, although they may arrange to receive funding through the administering department.
- 120. A Recognised Researcher may be supported (as named PGRA/PDRA) through the grant. Where the Recognised Researcher will not be funded through the grant, NERC expects that the host institution will meet the full salary costs from other sources for the duration of the grant.
- 121. NERC staff at any grade and in fixed term or open-ended appointments may apply for funding as a Recognised Researcher and may be supported as a named research assistant, provided they are not an Investigator on the application or on any current research grant.

Collaborator

- 122. The Principal Investigator may also name up to four formal Collaborators, who will not receive funding directly from the award, but will have an integral role in the proposed research. Named Collaborators may include staff in overseas institutions or from UK bodies which are not eligible to hold NERC grants.
- 123. The Head of Department (or equivalent) of any named collaborating body must provide written confirmation of the availability of the necessary facilities and infrastructure.

Eligible institutions

- 124. Non-thematic research grants may be held at approved UK universities or colleges, NERC Centre/Surveys, the Council for the Central Laboratory of the Research Councils (CCLRC) and at any of the recognised Academic Analogues listed in Annex C.
- 125. NERC Centre/Surveys and the CCLRC are subject to strict limits on the number of applications that may be submitted in any Non-thematic round.
- 126. Thematic research grants may be held at any institution eligible to receive Non-thematic funding, at other Research Councils' Institutes and in other research organisations by prior agreement.

Section E – FUNDING AVAILABLE: ELIGIBLE COSTS

127. A NERC research grant will fund the approved direct costs of a programme of research, and will include a contribution to the indirect costs incurred by the host institution. Where proposed costs are not awarded, the reasons for the decision will be explained to the Principal Investigator.
128. The main categories of costs which can and cannot be funded from a research grant are described in this section. The list is not exhaustive, and Investigators are strongly advised to consult NERC before applying for funding for any item not covered below. The final decision on whether a cost is eligible lies with NERC.

Direct Costs

129. Direct costs are those costs required specifically and uniquely for the project, and may include funding for research and support staff, tied students, travel and subsistence, equipment, consumables and certain other items.

Staff

130. The full costs of the research and technical staff associated with the project may be requested in the grant application.
131. The salaries (or any part) of the Principal and Co-Investigators cannot be funded through a research grant.
132. Salary costs for casual staff (e.g. sandwich course students) may be funded. These should be itemised in the application form under 'Consumables and Recurrent Costs' (indirect costs are not payable for casual staff).
133. Costs may be requested for technicians and other support staff to work full or part time on the project. These staff may be newly recruited, or existing staff may be reallocated to the project.
134. A contribution to the salaries of computing staff can be considered where the project requires the use of dedicated computing facilities.
135. The salaries of staff who provide general departmental or institutional support, not specific to the funded project, must be funded through indirect costs; this would normally include secretarial and administrative staff.
136. NERC staff in fixed term or open-ended appointments may be named as a Recognised Researcher and/or supported as research assistants, but only if they are not a Principal or Co-Investigator on an existing research grant.
137. Distinguished senior scientists from the UK or overseas may be funded to visit the Investigator's institution in order to give full time advice and assistance in research in a particular field for up to 12 months during the project. Senior Visiting Scientists will normally receive the same salary and conditions as other staff of an equivalent status within the Institution. They must be engaged full-time on the project for the duration of the visit.
138. Reasonable expenses will be paid for travel to and from the UK by Senior Visiting Scientists, but not their families. The amount requested for the visit should be reduced if a contribution has been received from other sources, if the visit will be partly funded by the Visiting Scientist's own institution or if the visit is part of a longer stay.

139. A grant may include funding for one or more 'tied' research (PhD/DPhil) students. Eligible costs for tied students are summarised later in this section.

Travel and Subsistence

140. Funding will be provided for journeys, visits and fieldwork in the UK and overseas where these costs are approved at the outset of the grant. Each journey must be itemised, justified and fully costed in the grant application.
141. Subsistence rates for UK travel will normally be paid at the standard rate for the Institution, up to a maximum of £40 per day.
142. The standard subsistence rate for overseas travel is £50 per day. Requests for higher amounts will be considered, but must be fully justified.
143. The costs of private transport within the UK will be reimbursed at the NERC public transport rate, currently 25p per mile. Higher mileage rates may be paid under particular circumstances, such as extensive off-road use of 4-wheel-drive vehicles or the use of larger vehicles for transporting groups of people or large pieces of equipment etc.
144. The subsistence rate for sea time is currently £55 per day.
145. Requests for funding to attend conferences will be considered if the conference is directly relevant to the proposed research and if it can be shown that attendance will directly benefit the research. Each conference must be named and costed in the application.
146. Funding may be requested to enable an Investigator to visit a recognised centre abroad to study new techniques and research developments where this would be of direct benefit to a research project. Such an award will only be considered if it can be shown that it is not possible for other organisations such as the Royal Society to support the visit.

Equipment

147. The following major capital items and special pieces of scientific equipment may be requested as direct costs under the equipment heading:
- equipment dedicated to the research project and costing £3,000 or more (including VAT), including computers and laboratory/workshop equipment
 - major equipment spares and software
 - equipment installation expenses (e.g. delivery, calibration)
 - cost of essential substantial changes to premises (e.g. installation of clean rooms, extension of air-conditioning).
148. In most cases the Institution will automatically become the owner of all equipment purchased with funding received from a NERC research grant, but NERC reserves the right to retain ownership. Where this will be the case, the award-holder will be informed at the outset of the award.
149. An Investigator may be required to share equipment funded by a research grant with other Investigators. In such cases NERC may provide additional technical support.
150. When equipment is to be bought from overseas, advice on taxes and duties should be sought from HM Customs and Excise. NERC will not provide additional funding to cover fluctuations in exchange rates.

151. Equipment requested in a research grant application may be available from one of the NERC equipment pools, and could be loaned to the Institution for the duration of the award. If this is the case it will be made clear in the award letter.

Consumables and Recurrent Costs

152. The Institution should normally provide the accommodation required for the project, but funds may be requested for housing for equipment that cannot be placed in normal accommodation, or technical maintenance for accommodation.
153. Consumables and recurrent costs must be itemised and fully justified in the application, e.g. a request for 'Consumables - £500' would not be accepted.
154. Funding for the use of NERC Services and Facilities that are provided on a *pay-as-you-go* basis (see Section H) should be requested under this heading.
155. Funding may be sought for a contribution towards the running costs of vehicles used in the proposed research, but funding not is not available for the purchase of vehicles.
156. institutions are expected to provide adequate computing facilities for Investigators. Recurrent and consumable costs associated directly and uniquely with the research project may be funded (e.g. stationery supplies, software licences, etc), but funding will not normally be provided for the use of central computing facilities.
157. When Investigators require access to datasets from NERC or from third-party suppliers, they should first discuss their requirements and any costs to be requested with the appropriate Designated Data Centre (Annex B). Data costs can be substantial, and should never be overlooked in costing a proposal. NERC will normally arrange to license third-party data on behalf of the Investigator, only reimbursing the cost of data licences in exceptional circumstances agreed in advance.
158. Page charges for publication in named journals will be considered if they are fully justified and cannot reasonably be avoided (for example where the use of colour figures is necessary and will incur significant fees). Funding will not normally be available for general reprint costs.
159. The Institution is responsible for the safety of equipment purchased under a research grant. The Institution must insure and protect such equipment to the same extent as any other equipment it owns.
160. Where a project includes the use of animals, fees for the relevant Home Office licence(s) may be charged to a research grant if these will be specifically for use on the project.
161. Funding may be requested for access to specialist laboratory equipment or other facilities. Such costs must be fully itemised, and NERC may to request that applicants investigate other options and providers before funding is confirmed.
162. The cost of using commercial information services may be sought only in those cases where information essential for the conduct of the research is exceptional in nature or amount and would impose an unreasonable burden upon the normal institution information services.
163. Salary costs for casual staff should be itemised in this section.

Exceptional Items

164. Additional funding is available for items which would normally be provided by the Institution or funded through the indirect costs associated with a grant, where these items are

specifically required by the project and where they exceed a threshold value. All items must be justified fully in the case for support, and costs should be based on actual prices including VAT. No allowances should be made for inflation.

- equipment energy costs where the energy costs of the project will be £1,000 or more per year
- equipment procurement where other than normal tendering is required, e.g. quantity surveying etc, and where the cost will be £2,500 or more
- telephone, facsimile, and special postal costs where they are dedicated to the project and separately metered, and where individual costs will be £1,000 or more per year
- specialist cartography, photography, and printing and photocopying charges where the total costs will be more than £2,500 over the period of the grant.

165. University and college fees for tied students should be listed as Exceptional Items.

Indirect Costs

166. Research grants also include a contribution to those items of support and infrastructure provided by a Department/institution that cannot be assigned specifically to particular projects. Such indirect costs are funded through the addition of a fixed overhead (currently 46%) to all funded staff costs.

167. Indirect costs include:

- financial services (finance, accounting, tendering, marketing)
- personnel services (redundancy and sickness benefit)
- recruitment costs
- staff facilities (transport, welfare, laundry etc.)
- staff development (including training)
- health & safety, including personal or travel insurance
- public relations
- institution libraries
- department services (administration, secretarial, local finance, minor consumables, printing, minor stores items, and laboratory and workshop support), postage, telephone and facsimile charges.

Ineligible Costs

168. NERC will **not** meet costs associated with the following:

- employment of academic staff
- general premises costs including:
 - construction and maintenance of buildings

- animal houses and glass houses
- land purchase/lease
- refurbishment/renovation/adaptation
- basic services and utilities (including heating, lighting and communications)
- office furnishings
- lease/rent/rates
- insurance
- cleaning/portering/security/safety
- purchase of vehicles
- teaching and demonstration fees
- statutory sick pay (see Concordat paragraph 26) redundancy benefit or amounts recoverable from the Inland Revenue
- use of institutions' central and distributed computing facilities
- animal licence fees which are not project-specific
- costs of attendance at conferences and similar meetings which are not covered in the research grant award letter
- insurance for staff or equipment
- support for students who are not funded by NERC (e.g. travel, technical support, equipment etc.).

169. Except where specifically mentioned in this booklet or in the grant award letter, NERC has no responsibility for any expenditure or liabilities which have been incurred during the period of the research grant.

Tied Students

- 170.** A tied studentship provides funding for 36 months for a research student to carry out a well-defined programme of work within the research grant, leading to the award of a PhD/DPhil. The period of the studentship must fall entirely within the duration of the research grant. The tied studentship includes the student's maintenance grant, indirect costs, university and (where appropriate) college fees, and additional costs may be requested for items such as overseas fieldwork expenses, conference attendance etc. Tied students cannot be funded through small grants.
- 171.** Funding is available for full-time studentships only, and awards cannot be made to part-fund studentships derived from other sources.
- 172.** Tied studentships must comply with the regulations governing other NERC research studentships, including those covering institutional and student eligibility and minimum qualifications. Tied studentships cannot be held solely in Academic Analogues or NERC Centre/Surveys, since NERC studentships may be held only in degree-awarding bodies. A tied studentship may be held as a CASE award, if appropriate.

173. The application for a tied studentship must be made with the grant application, although it is not necessary at that stage to name the prospective student.
174. The maintenance grant will be paid directly to the student, and indirect costs of 46% of the value of the basic grant (i.e. not including allowances or London weighting) will be paid to the Institution. Fieldwork costs, funding for attending short courses and the Research Training Support Grant are not paid as part of the studentship, since these should normally be funded from the indirect costs. Any requests for additional funding (e.g. for overseas fieldwork) must be included in the grant application.

Use of NERC Services and Facilities

175. Applicants for NERC grants may also apply to NERC for access to any of the NERC-supported scientific services and facilities. For some of these facilities access is provided free to the user, subject to peer-review and prioritisation of applications to ensure that the highest quality science is supported. In other cases, the facilities are not operated by NERC and are funded on a *pay-as-you-go* basis. The NERC services and facilities are described in Section H. Applications for sea time and High Performance Computing must follow the procedures outlined in Section F.

Access to NERC Data

176. NERC has extensive holdings of environmental data. It is NERC's policy to make its data available to *bona fide* researchers, either free of charge, or at rates intended to recoup only the costs of servicing the request. If proposals will involve access to data held by NERC, Investigators should discuss their requirements in advanced with the appropriate Designated Data Centre (Annex B), and identify any costs on the application form.

Section F – APPLICATION AND ASSESSMENT PROCEDURES

Assessment of Applications

177. Applications for Non-thematic funding are considered by NERC with the advice of the NERC Peer Review Committees (PRCs), drawn from the academic and broader user communities. Applications for standard grants (including CONNECT B) received for the July and December closing dates are assessed and graded at the PRC meetings in October and March respectively. Applications for small grants are graded by PRC members within four months of each closing date. All applications are peer reviewed by referees drawn from the wider academic and scientific communities in the UK and overseas, and applicants for standard grants are invited to provide a written response to the referees' comments, which will also be considered by the PRC.
178. Proposals for Non-thematic funding are assessed primarily on scientific merit, and whilst the subject of the research must fall within the NERC remit, the success or otherwise of a proposal does not depend on its relationship to topics highlighted in the NERC science strategy or other NERC priority areas.
179. Proposals in the Thematic mode are assessed through a similar process of peer review, and are considered by the programme steering committee or a sub-panel. The assessment is based on scientific merit, but will also consider the relevance of the proposed work to the programme's theme.
180. All applications will be subject to an assessment of the resources requested and all costs will be scrutinised.
181. A Principal Investigator may be invited to resubmit an application (see below). In such instances the Principal Investigator will be given appropriate guidance, together with the terms and conditions for resubmission. Resubmissions are considered in open competition with all other applications received at the same closing date.
182. NERC will not consider an application if it, or a similar application, has been submitted to another Research Council. Applicants must inform the Awards and Training Section if they have also submitted the application to another NERC Committee (for example as part of a Thematic programme), or to any other funding agency.
183. An application may not be submitted for a project for which a grant has already been awarded.
184. Applications for funding to complement a grant from the European Union will be considered, but will not receive preferential treatment. NERC must be satisfied that the EU grant covers the full economic costs of that part of the project. Applicants are recommended to consult the relevant PRC secretary or Programme Administrator before submitting the application to the EU.

Application Procedures

185. Any applicant in a small or standard grants round (except the New Investigators' scheme) may submit no more than one application as the Principal or a Co-Investigator, and one further application as a Co-Investigator.
186. Applicants for research grants must submit **eight copies** each of the appropriate application form(s) and the case for support. The length and content of the case for support will depend upon the scheme to which the application is made, but it must include details of the proposed work and a full justification of the resources requested.

187. Applications (completed forms and case for support) should be submitted to the NERC Awards and Training Section, unless stated otherwise on the application form. Applications must be received by NERC before 5pm on the closing date or, if the closing date falls at a weekend, the Monday after the closing date. Applications may be hand-delivered or, if posted, must be sent by first class mail (or other next-day service) and postmarked **before** the closing date.
188. Any application which is received after the closing date or is incomplete or which does not meet the regulations governing eligibility or applications procedures will be returned to the applicant and will not be considered.
189. For all applications, the case for support must be printed in single-spaced typescript of **minimum font size 12 point (Times New Roman or Arial font), with margins of at least 1.5cm**. References can be presented in a smaller font size provided it is sufficiently clear to ensure good quality reproductions. Photo-reduced type must not be used. Any application in which the case for support does not comply with these specifications will be rejected.
190. All of the Investigators, the heads of the administrating departments and the Institutions' administrative authorities must sign the grant application form to confirm that the details given are correct and that they are willing to accept NERC's terms and conditions, including submission of a final report and final expenditure statement. The statements must outline how the proposed work fits into the research programme(s) of the department(s) concerned, and must contain an undertaking that the necessary underpinning resources and services will be provided if the grant is awarded. In signing the declaration the Head of Department (or equivalent) and the administrative authority also confirm the eligibility and status of the applicant and that the period of the grant, if awarded, will not exceed the tenure of their academic/research appointment.
191. **Any application that does not contain the necessary statements of support and signatures will be rejected.**

Standard Grants (including CONNECT B)

192. The Principal Investigator must submit form RG1, together with a case for support not exceeding eight sides of A4.
193. The case for support must provide a self-contained description of the proposed project outlining the motivation for the proposed research, detailing the work to be undertaken and justifying the resources requested.
194. The description of the project should address the following points:
- Underlying rationale, scientific and technological issues to be addressed, relevance to users and the potential scientific, practical and socio-economic benefits
 - specific objectives of the project, including their potential relevance to UK and international research work in the field, relevance to the NERC mission (Annex D) and anticipated achievements and outputs, including datasets
 - methodology and approach
 - programme and/or plan of research
 - justification for resources being sought
 - management of both project and resources, identifying the training and career development opportunities for personnel working on the project

- long term stewardship of resulting datasets for potential re-use by other scientists
- proposals for wider dissemination of results including those relating to the wider public understanding of science.

195. Where support is requested for a **tied studentship** the full cost of the maintenance grant should be itemised under 'staff costs' on the RG1 form (as 'other staff') and university and college fees should be listed as exceptional items. A studentship application form, **RS1a**, must be completed and attached to the RG1, and should provide details of the student's project and the training to be provided. The request for a tied studentship must be justified fully in the case for support.

Small Grants (including New Investigators' scheme)

196. Applications for small grants must be submitted on form RG1 and should be accompanied by a case for support not longer than two sides of A4 including references and figures.
197. Applicants to the New Investigators' scheme must be the sole Investigator.
198. Applicants to the New Investigators' scheme may submit up to two applications. These may both be to the New Investigators' scheme, or one may be to the main Small grants round (1st February closing date) with the applicant as a Co-Investigator.

Long Term Support

199. Applicants for funding under the Long-Term support scheme should first submit a short outline proposal. The outline proposal should consist of form RG1 (front page, sections 1-9, 18-19 and 20-21 only to be completed), and a summary case for support covering not more than two sides of A4 (single spaced, minimum 12pt font, 1.5cm margins). The case for support should outline the proposed project and highlight the particular benefits of NERC funding through this scheme. The closing dates for outline bids are **15 February** and **15 September**.
200. Outline bids will be assessed by the Peer Review Committees in March and October, and successful applicants will then be invited to submit a full proposal for further consideration. Full proposals must be submitted for the **1 July** or **1 December** closing dates, and will be subject to peer review followed by assessment and grading by the Peer Review Committees.
201. The full bid should consist of:
- completed NERC research grant application form, RG1 (additional pages may be used to continue sections 18 and 19a if necessary). Where applicable, applicants should give details of all NERC funding awarded over the previous eight - ten years
 - one-page non-technical summary
 - case for support of up to ~~ten~~ sides of A4 (single spaced, minimum font size 12 pt, margins 1.5cm or greater).
202. The application will be assessed primarily on the scientific merit of the research proposed (as for other Non-thematic schemes), and the case for support should provide a self-contained description of the proposed project outlining the rationale behind the proposed research, detailing the work to be undertaken and justifying the resources requested.
203. The description of the project should address the points outlined above for the case for support for a standard grant. The assessment will also consider the following criteria, which

should be highlighted in the case for support:

- relevance and importance (nationally and internationally) of the proposed research, relationship with work carried out elsewhere, potential for new collaborations etc.
 - track record of PI and host department
 - added value provided by funding the research through the Long-Term support scheme.
- 204.** There is no limit on the number of outline bids an applicant may submit per round, but only one full proposal may subsequently be submitted. If this application is ultimately unsuccessful, the applicant may submit further outline bids. Holders of Long-Term Support awards may not normally apply for further Non-thematic or Long-Term support in the same area of research until 12 months before the end of the award.
- 205.** A PRC may recommend that an application for Long-Term support is more suitable for funding as a standard grant, and an award may therefore be offered on this basis.

CONNECT A

- 206.** Applicants should complete the CONNECT A application form, which should be returned to the NERC Awards and Training Section. There is no closing date for CONNECT A applications.

Other Schemes

- 207.** Details of the application procedures for other schemes (JREI, JIF, ROPA, etc) can be obtained from the websites and contact points listed in Section B.

Resubmission of Applications

- 208.** Unsuccessful applicants may not normally resubmit an application in the same form at a later date even if it has been rewritten to take account of referee and committee comments. Exceptionally, however, a Peer Review Committee may allow the resubmission of a standard grant application or its carry-over to a subsequent grants round under the following circumstances:
- The PRC may judge the application to be potentially exciting and worthy of funding, but require clarification of certain aspects or minor amendments before a final decision can be made. The Principal Investigator is invited to modify the application and to submit it to a subsequent round (this is termed 'Invited Resubmission')
 - The application may have been graded highly, but have fallen just short of the cut-off of available funds for that round. The PRC may then decide to allow the application to be carried forward to the next round. The applicant can choose to resubmit the application without any amendments (it will not be subject to further peer review), or to resubmit it with minor changes for full peer review. In either case the PRC may, on considering the application a second time and in the light of any changes or developments in the subject, decide to regrade the application.
- 209.** All resubmitted applications will be considered in open competition with new applications. An invitation to resubmit or carry-over an application does not imply any preferential treatment or increased prospects of funding.
- 210.** Applications for small grants may not be resubmitted and there is no carry-over procedure for small grants.

Applications Requesting Sea Time

211. There are now two closing dates for sea-time applications: 1 April and 1 November each year, for sea time in the following calendar year. (Programming commences in April; applications received for 1 November can be accommodated provided that a suitable time window remains, and there is enough time to obtain diplomatic clearances. Otherwise these applications may be carried over for one year with the consent of the relevant peer review body). Research Grant proposals which are associated with an application for sea time must be submitted, together with a copy of the completed sea-time application, to NERC Awards & Training, by 1 December (in advance of the 1 April sea time deadline) or 1 July (for 1 November sea time deadline).
212. Two copies of the associated sea-time application and the supporting scientific case must be submitted, **together with confirmation of full funding for sea-time**, to Dr C Harper, NERC Marine Planning Office, Swindon, by no later than **1 April 2000**. Sea-time application forms for the 2001 programme, and guidance notes on their completion, are available from NERC Marine Planning Office, Swindon. In particular, please note that where the description of the supporting scientific case is identical for the Research Grant proposal and the sea-time application, the same case may be copied to NERC with the Research Grant form and to Marine Planning with the sea-time form.
213. The Research Vessel Services Advisory Panel (RVSAP) meets after peer review and prioritisation of applications is completed and funding decisions have been taken to consider the draft NERC research Ships Programme for the following calendar year. The Panel provides impartial practical advice to Superintendent RVS and to the RVS Marine Planning office on the draft programme. Only applications with assured funding for research and ship time can be considered in the draft programme..
214. The RCSG also considers the future strategy for deployment of the NERC ships. It will therefore consider the implications of long-term research programmes involving cruises for the following two years, and can recommend that plans are put in place for cruises over a three-year period. The aim is to help scientists wishing to mount a series of related cruises, as in the case of long-term monitoring and mooring deployment/recovery cruises. **Please note: this implies that applications to lay equipment for subsequent recovery should normally give sufficient detail to permit recovery to be approved and planned without further detailed peer review.** Finally, the RCSG will advise on programme slots that should be set aside by Research Vessel Services for possible chartering.
215. After the RCSG has met, the Research Ships Programme for the following year will be finalised, taking into account scientific priority, logistical and timing constraints and resource limitations. Sea-time applications which have been approved for funding but which cannot be accommodated in the programme for logistical or capacity reasons may be carried over for consideration in the following programme, at the discretion of the relevant Peer Review Committee or Board. Applications will not be carried over automatically, and applicants are advised to contact the appropriate Peer Review Committee/Board secretary to discuss the possibility of carrying forward.
216. No research grant involving a sea-time application will be allowed to commence until ship-time has been formally allocated.

Applications Involving High Performance Computing

217. Research grant applications with High Performance Computing requirements should be accompanied by the CSAR Application for National Supercomputing Resources CSAR09/98, which is available from: <http://www.csar.cfs.ac.uk/general/forms.html> or from Tony Furze, e-mail: tony.furze@epsrc.ac.uk, on paper. The NERC contact for High Performance Computing is Mark Venn, e-mail: mwv@nerc.ac.uk. The closing dates for

applications are **1 February, 1 June and 1 October** each year.

Applications for Other NERC Central Facilities

- 218.** Applications to use NERC central facilities other than sea time and High Performance Computing (see above), are made separately from research grant applications, as mentioned in Section F. Advice on the application procedure for a particular facility should be sought from the relevant contact given in Appendix A. Requests for data held by the NERC Data Centres (Annex B) may be made at any time.

Section G – MONITORING AND REPORTING

219. All Investigators must provide information on the outcomes of their research each year (as part of the annual Output and Performance Measures exercise outlined below) and must also submit a final report at the end of the research grant.
220. The Principal Investigator is responsible for submitting the final and OPM reports.
221. In general, publication in refereed scientific journals and publication of datasets (e.g. through their deposition with a NERC Data Centre) is the most appropriate way to report and disseminate the findings of a NERC-funded research grant project.
222. Failure to submit a satisfactory final report on time may result in sanctions against the Principal and any Co-Investigators and their department(s).

Final Reports

223. The Principal Investigator must submit the following within three months after the end of the grant:
- four copies of a completed PA1 (Project Assessment) form summarising basic information on original objectives, achievements, output etc.
 - four copies of a detailed report of no **more than four sides** of A4 (single spaced typescript, minimum 12 pt font, all margins at least 1.5cm) including all necessary tables and figures plus, on additional pages if necessary, a full list of references. The final report should outline the original objectives of the award, the extent to which these have been met, and any significant outcomes and results. It should explicitly confirm that datasets from the project have been offered to the appropriate Designated Data Centre (Annex B) and record the arrangements for long-term custody of the data which have been agreed. The report should also explain any instances where the use of funds has differed significantly from the original award by more than 20% in any category of expenditure.
 - two copies of a final expenditure statement (the appropriate form will be sent to Institutions at the end of the award).
224. The Principal Investigator must apply in writing to NERC for a postponement of the due date of the final report if there are exceptional reasons preventing its submission on time.
225. Failure to meet the three-month deadline without NERC's prior written agreement to a postponement will mean that NERC will:
- not consider subsequent research proposals from all Investigators named on the award until the final report is received
 - recover 20% of the value of the grant if the final report and/or final expenditure statement is not received within three months of the termination of the research grant
 - recover 100% of the value of the grant if the final expenditure statement has not been received within six months of the date that the final expenditure statement was due.
226. Final reports from research grants will be reviewed and graded by members of the NERC Peer Review Committees.
227. The grades of final reports must be declared in any subsequent applications for research

grant funding.

- 228.** Where a final report is judged to be unsatisfactory the Investigator(s) will be asked to submit an amended report to provide a formal response to specific issues of concern. If the grading is upheld as unsatisfactory the Investigator(s) will be barred from submitting further grant applications for a specified period.

Annual Reporting of Output and Performance Measures

- 229.** NERC, along with the other Research Councils, is required to report to the Office of Science and Technology each June on the outputs from research grants during the previous financial year. A similar report is also made to NERC Council. This information is collected by the Planning and Communications Directorate.
- 230.** All Principal Investigators must complete an annual questionnaire on the specific outputs from their individual research grants. Information will be requested on publications, new or improved products, services or equipment developed, knowledge transfer and possible beneficiaries, external co-funding, patents and public understanding of science initiatives. A short summary, in plain English, of scientific achievements or advances during the previous year will also be required.
- 231.** OPM questionnaires and guidance will be sent to the Principal Investigator of each grant at the end of January each year. Forms are also available electronically and on-line at the NERC web site (<http://nerc.ac.uk/about-NERC/opm-quest.html>). Completed questionnaires must be returned to the Planning and Communications Directorate by early April.
- 232.** OPMs are collected on all current research grants and all completed grants up to three years after funding has ceased.

Section H – NERC SCIENTIFIC SERVICES AND FACILITIES

233. NERC provides a wide range of scientific services for the environmental sciences research community (see <http://www.nerc.ac.uk/nss/>). Any individual or group of researchers eligible for a NERC training award or research grant may apply for access to any of the services listed. For some of these facilities access is provided free to the user, subject to peer-review and prioritisation of applications to ensure that the highest quality science is supported. In other cases, the facilities are not operated by NERC and are funded on a *pay-as-you-go* basis. Researchers can only apply to these facilities once they have secured funds to cover the full costs from one or other of the NERC funding modes or other sources (although limited support is available for students and small proof-of-concept studies). Spare capacity in any of the facilities may be made available to non-NERC researchers or commercially.
234. Application procedures are outlined below. Prospective applicants must first seek the advice of the appropriate NERC or service contact before a formal application is submitted (see Annex A). Applications for the use of facilities to support student training should be made by the student's supervisor.
235. It is important to state on fellowship, studentship and grant application forms what services and facilities are required, with whom contact has been made to discuss the work, and whether a separate application has been made to the relevant facility.

Research Vessels and Marine Equipment

236. A fleet of three multi-purpose research ships and one ice-class polar research vessel is used for oceanic and continental shelf research. A comprehensive range of marine research equipment is also available. Applications for cruises are usually restricted to researchers with several years of seagoing experience. Sea time application forms, guidance notes and further information are available from the Marine Planning Office at <http://www.nerc.ac.uk/nss/rvsmain.htm>, tel (10793) 411662.

High Performance Computing

237. NERC peer reviews and coordinates requests to use UK national High Performance Computing (HPC) facilities for research in the environmental sciences. The major national HPC facility is the CSAR service based at the University of Manchester.

Remote Sensing

238. The NERC Earth Observation Data Centre (Annex B) purchases and provides access to commercially-available satellite data.
239. The Dundee Satellite Receiving Station acquires and archives data from a number of meteorological and environmental monitoring satellites. The Station holds an extensive archive of historical data.
240. The Airborne Remote Sensing Facility operates a Piper Chieftain twin-engined aircraft for support of campaigns in the UK and in Europe. Airborne sensors available include aerial survey cameras, a multi-spectral scanner and an imaging spectrometer. Application forms inviting participation in a given campaign are issued the previous year in August for return by 1 October. Data from previous campaigns are held by the NERC Earth Observation Data Centre (see Annex B).
241. The Remote Sensing Data Analysis Service, located at Plymouth Marine Laboratory, processes satellite imagery, providing quality-controlled data in forms requiring minimal extra processing. The Service can, by prior arrangement, supply near-real-time data (for example

in support of research cruises).

Equipment Pools

242. The Geophysical Equipment Pool, at Edinburgh University, provides equipment for seismology, geomagnetism, ground-penetrating radar, and global positioning systems.
243. Support for remote sensing projects is provided by the Equipment Pool for Field Spectroscopy at the University of Southampton.

Analytical Facilities

244. These include:

- NERC Radiocarbon Laboratory, at East Kilbride, for environmental sciences projects
- Oxford University Radiocarbon Accelerator Dating Service for archaeological sciences
- NERC Isotope Geosciences Laboratory at Keyworth (stable and radiogenic isotope analyses)
- Isotope Community Support Facility, at the Scottish Universities Research and Reactor Centre (SURRC) at East Kilbride (stable and radiogenic isotope, ICP and laser microprobe mass spectrometry)
- Argon Isotope Facility, at SURRC, East Kilbride, for Ar - Ar dating and coordination of sample irradiations
- ^{15}N Stable Isotope Facility at the Institute of Terrestrial Ecology, Merlewood (^{15}N and ^{13}C) for ecological applications
- Life Sciences Community Stable Isotope Facility at SURRC, East Kilbride for life sciences projects (notably using doubly labelled water analyses)
- U-Series Facility at the Open University for collaborative application of U-series systems to NERC-related research, in particular geochemistry, Quaternary science, archaeology and hydrogeology
- Ion Microprobe Facility, and electron microprobe facilities for tephrochronology and ion microprobe-related work, with use of SEM, at Edinburgh University
- Electron Microprobe Facility at Manchester University
- The Inductively-Coupled Plasma Atomic Emission Spectrometry (ICP-AES) Facility at Royal Holloway, University of London
- The Inductively-Coupled Plasma Mass Spectrometry (ICP-MS) Facility at Imperial College, University of London
- Organic Mass Spectrometry Facility at Bristol University.

Other Facilities

245. The Atmospheric Research Airborne Support Facility, based at Farnborough, co-ordinates with the Meteorological Research Flight of the Meteorological Office to arrange and purchase access to the C-130 Hercules aircraft for research work in the areas of: cloud

physics, atmospheric chemistry, mesoscale meteorology, boundary layer studies, and remote sensing (including work for the marine community). An Announcement of Opportunity for the next April-March flying programme is made in September each year with a closing date for applications of 1 December. As this facility is operated under *pay-as-you-go*, users will need to secure funding through Standard Research Grants (1 July, last round for the following year), Small Research Grants (1 June, last round for the following year), Thematic Programmes or external funding sources. The Head of Facility is: Dr Andrew Kaye, e-mail: a.kaye@nerc.ac.uk.

246. The National Power Environmental Flow Research Centre, at Surrey University, provides wind-tunnel and towing tank facilities. This service is operated under *pay-as-you-go* conditions.
247. The Mesosphere, Stratosphere and Troposphere Radar Facility is operated by the University of Wales, Aberystwyth but is managed by CCLRC (Council for the Central Laboratory for the Research Councils) from the Rutherford Appleton Laboratory (RAL).
248. The Chilbolton Advanced Meteorological Radar Facility is also managed by CCLRC from RAL. This service is operated under *pay-as-you-go* conditions.
249. The Molecular Spectroscopy Facility at Rutherford Appleton Laboratory provides services and facilities for spectroscopic studies of gases, aerosols, liquids and solids, from far infra-red to ultra-violet wavelengths.
250. The British Ocean Sediment Core Repository is based at the Southampton Oceanography Centre.
251. The Molecular Genetics Facility at the University of Sheffield provides DNA-related services.
252. The Buxton Climate Change Impacts Laboratory operated by the University of Sheffield provides secure field test site facilities with control of climatic conditions.
253. NERC also purchases capacity at and provides access via peer review to three other major CCLRC facilities: the Synchrotron Radiation Source (SRS) at Daresbury Laboratory, and the Central Laser Facility and the ISIS pulsed neutron and muon source (both at Rutherford Appleton Laboratory). The normal mode of access to these facilities is via *pay-as-you-go* grant funding (the requirement and the costs of access are entered by the applicant on the grant application). In the case of SRS and ISIS, some core funding is provided to allow direct access for certain classes of use.

Recognised Facilities

254. NERC also recognises the quality of the following services to which it provides no funds and with which it has no formal access arrangements:
 - Scanning proton microprobe, Oxford
 - Luminescence laboratory, Aberystwyth
 - Experimental petrology facilities, Edinburgh.
255. Applicants should discuss their projects with the service concerned and specify any required funding in the grant application.

British Antarctic Survey

256. In cases requiring access to facilities of the British Antarctic Survey (BAS), Cambridge, or

provision of Antarctic samples by BAS, applicants should discuss their proposals with BAS (tel. 01223 221400) before submitting a formal application.

Applications to Support the Provision of New Services and Facilities

- 257.** In addition to research grants from the Awards and Training Section, NERC can provide funds to support wider use of facilities in higher education institutions. Applications for such funds should be submitted on a customised form available from Dr Lin Kay, e-mail: rlfk@nerc.ac.uk, and submitted by the closing date of **1 July** each year.
- 258.** Applications in this category should offer a wider collaborative service role, either exclusively or in addition to a specific research role. Applications will be considered in January by the Services Review Group (SRG), which has membership consisting of Peer Review Committee chairs/Science and Technology Board members and Peer Review Committee members. The SRG considers applications for funding new services in conjunction with applications for renewal of funding from existing services, employing a scoring system to obtain a priority-ordered list, and making recommendations to Director, Science Programmes. Support from the Services budget where staff and recurrent expenditure are involved is normally in the form of a contract for up to three years. The Science Programme Directorate carries out administration of awards and contracts for central facilities.

Section I – NERC Complaints Procedure

Introduction

259. The NERC Awards and Training (A&T) Section deals with a large number of grant, fellowship and studentship holders. Within such a large community it is inevitable that individuals and institutions will have comments, complaints, grievances and ideas relating to NERC policy and procedures. We welcome these, but with so many prospective points of entry into NERC, it is important that the HEI community is aware of whom to contact and how. This is especially important in instances of formal grievance or complaint.

Background

260. NERC uses expertise and advice from a variety of NERC Committees and Boards as well as from individual scientists, representatives of Government agencies and external interest groups. These contributions are invaluable and are an essential part of the way that NERC delivers funding and support. However, ultimate responsibility for decisions, actions, administration and management rests with Council and NERC officers. NERC officers must therefore be the first recipients for complaints and grievances, not Chairmen and members of Peer Review Committees (PRCs) or members of Review Panels.

Procedure

261. Anyone with a complaint should initially discuss the problem(s) with the appropriate NERC officer. Current contacts and their areas of responsibility are listed at the front of this booklet.
262. Formal complaints should be directed in writing (by post or e-mail) to the appropriate NERC officer, who will aim to acknowledge receipt of the complaint and/or seek clarification within ten working days.
263. The appropriate NERC officer will investigate the complaint, and will try to resolve the problem(s) to the complainant's satisfaction. If problems submitted to named NERC officers are not resolved within a reasonable time, they should also be sent in writing to the Director of Science Programmes, Mr David Brown.
264. If the responses from the relevant NERC officer and the Director of Science Programmes are not felt to be satisfactory, complainants should write to the Chief Executive.

ANNEX A - CONTACTS FOR NERC SCIENTIFIC SERVICES

Head of Services, Programme Management and Schemes Policy Group: Dr Lin Kay, NERC, Polaris House, North Star Avenue, Swindon, SN2 1EU

Note: Many telephone numbers in Cardiff, Coventry, London, Northern Ireland, Portsmouth and Southampton will change during 2000 - see <http://www.numberchange.bt.com> for further details

Services/Facilities		Service Contact Swindon Office Contact	Telephone
15N Stable Isotope Facility	15NSIF	Dr A Scott	015395 32264
Support Facility		Dr L Kay	01793 411600
Airborne Remote Sensing Facility	ARSF	Mr P Purcell	01793 411649
		Dr L Kay	01793 411600
Argon Isotope Facility	AIF	Dr M Pringle	013552 70134
		Dr L Kay	01793 411600
Atmospheric Research Airborne Support Facility	ARASF	Dr A Kaye	01252 395843
		Dr L Kay	01793 411600
British Ocean Sediment Core Repository	BOSCR	Dr G Rothwell	023 596567
		Mr P Purcell	01793 411649
Buxton Climate Change Impacts Laboratory	BCCIL	Dr K Thompson	0114 2224314
		Mr B Robinson	01793 411537
Central Laser Facility	CLF	Dr A W Parker	01235 445109
		Mr B Robinson	01793 411537
Chilbolton Advanced Meteorological Radar Facility	CMRF	Mr J Goddard	01235 446127
		Mr B Robinson	01793 411537
Dundee Satellite Receiving Station	DSRS	Mr P Baylis	01382 2318 Ext 4406
		Mr P Purcell	01793 411649
Environmental Flow Research Centre	EnFlo	Prof I Castro	01483 259672
		Mr B Robinson	01793 411537
Equipment Pool for Field Spectroscopy	EPFS	Mr D Emery	023 592796

Services/Facilities		Service Contact Swindon Office Contact	Telephone
		Mr P Purcell	01793 411649
Geophysical Equipment Pool	GEP	Mr M Valiant Dr L Kay	0131 668 2282 01793 411600
Inductively Coupled Plasma Atomic Emission Spectrometry Facility	ICPAES	Dr N Walsh Dr L Kay	01784 443634 01793 411600
Inductively Coupled Plasma Mass Spectrometry Facility	ICPMS	Dr K Jarvis Dr L Kay	N/a 01793 411600
Ion Microprobe Facility	IMF	Dr R Hinton Mr B Robinson	0131 6508548 01793 411537
ISIS Pulsed Neutron and Muon Source	ISIS	Dr A Taylor Mr B Robinson	01235 446681 01793 411537
Isotope Community Support Facility	ICSF	Dr A Boyce Dr L Kay	013552 70134 01793 411600
Life Sciences Community Stable Isotope Facility	LSCSIF	Dr S Waldron Dr L Kay	013552 70131 01793 411600
Manchester Electron Microprobe Facility	MEMF	Mr D Plant Mr B Robinson	0161 2753813 01793 411537
Mesosphere, Stratosphere and Troposphere Radar Facility	MSTRF	Dr S J White Mr B Robinson	01235 446168 01793 411537
Molecular Spectroscopy Facility	MSF	Dr J Ballard Mr B Robinson	01235 446415 01793 411537
Organic Mass Spectrometry Facility	OMSF	Dr R Evershed Dr L Kay	0117 9287671 01793 411600
Open University U Series Facility	OUUSF	Dr P Van Calsteren Dr L Kay	01908 652889 01793 411600
Oxford University Radiocarbon	ORADS	Prof R Hedges	01865 273939

Services/Facilities		Service Contact Swindon Office Contact	Telephone
Accelerator Dating Service		Dr L Kay	01793 411600
Remote Sensing Data Analysis Service	RSDAS	Mr S Groom Dr L Kay	01752 633150 01793 411600
Research Vessel Services	RVS	Dr C Fay Dr C Harper	023 596012 01793 411662
Satellite Laser Ranger Facility	SLRF	Dr G Appleby Mr B Robinson	01487 773381 01793 411537
Sheffield Molecular Genetics Facility	SMGF	Prof T A Burke Mr B Robinson	0114 2220096 01793 411537
Synchrotron Radiation Source	SRS	Prof D Norman Mr B Robinson	01925 603236 01793 411537

ANNEX B - NERC DESIGNATED DATA CENTRES

265. Council has delegated *responsibility* for data, and the implementation of its data policies, to seven Designated Data Centres as follows. The Data Centres can be approached for advice on data issues. In particular they should be consulted if projects will be requiring data as an input to research, or will be generating as output, major datasets which should be accorded a secure future.
266. It is NERC policy that recipients of NERC funding must offer to deposit with NERC a copy of datasets resulting from the research support, for use by other *bona fide* researchers, but without prejudice to the intellectual property rights of the originator of the data.
267. It is important to distinguish the Data Centres' **responsibility** for data in their science area from actual data **custody** itself. Some Data Centres are resourced to undertake the latter, with scientists physically transferring to them datasets for subsequent central custody and stewardship. Some do not undertake physical custody at all, but are aware of where datasets are held, and coordinate those who do hold them; the datasets themselves may therefore be dispersed widely in NERC institutes, academia or other bodies. Other Designated Data Centres lie between the extremes, maintaining some discipline-related data, but with substantial holdings managed elsewhere.
268. Further information on the NERC Data Centres and NERC data policy can be found at <http://www.nerc.ac.uk/environmental-data/>

Antarctic Environmental Data Centre:

British Antarctic Survey
High Cross
Madingley Road
Cambridge CB3 0ET

tel 01223-221400
fax 01223-362616
e-mail aedc@bas.ac.uk

Responsible for all NERC's data from the Antarctic, regardless of discipline.

British Atmospheric Data Centre:

Rutherford Appleton Laboratory,
Chilton
Didcot
Oxon OX11 0QX

tel 01235-446432
fax 01235-445848
e-mail badc@rl.ac.uk

Responsible for atmospheric sciences data.

British Oceanographic Data Centre:

Centre for Coastal and Marine Sciences
Proudman Oceanographic Laboratory
Bidston Observatory, Birkenhead
Merseyside L43 7RA

tel 0151-6538633
fax 0151-6523950
e-mail bodcmail@pol.ac.uk

Responsible for marine data.

Environmental Information Centre

Institute of Terrestrial Ecology
Monks Wood
Abbots Ripton
Huntingdon
Cambs. PE17 2LS

tel 01487-773381
fax 01487-773467
email eic@ite.ac.uk

Responsible for terrestrial and freshwater ecological data.

National Geosciences Information Service:

British Geological Survey
Keyworth
Nottingham NG12 5GG

tel 0115-9363109
fax 0115-9363276
e-mail ngis@bgs.ac.uk

Responsible for geosciences data.

National Water Archive:

Centre for Ecology and Hydrology,
Institute of Hydrology
Wallingford
Oxon OX10 8BB

tel 01491-838800
fax 01491-692424
e-mail nwamail@ioh.ac.uk

Responsible for NERC's hydrological data and for the Government's National River Flow Archive.

NERC Earth Observation Data Centre

Rutherford-Appleton Laboratory
Chilton
Didcot
Oxon OX11 0QX

tel 01235-446168
fax 01235-445848
e-mail neodc@rl.ac.uk

Responsible for Earth Observation data held by NERC, notably the imagery from NERC airborne surveys, and NERC's archive of imagery from commercial sources.

Science-based Archaeology

NERC's science-based archaeology community is encouraged to deposit data with the Archaeological Data Service:

Department of Archaeology
University of York
King's Manor
York YO1 2EP

tel 01904 433954
fax 01904 433939
e-mail info@ads.ahds.ac.uk

ANNEX C – NERC ACADEMIC ANALOGUES

- 269.** A limited number of organisations are eligible to apply for NERC funding as recognised Academic Analogues.
- 270.** In order to be recognised as a NERC Academic Analogue the organisation must meet strict criteria. Recognition is at NERC's discretion.
- 271.** Recognition by NERC does not imply eligibility for funding in any scheme operated by other Research Councils.
- 272.** The NERC recognised Academic Analogies are listed below:

Armagh Observatory

British Museum

British Trust for Ornithology

CAB International Biosciences*

Centre for Applied Microbiology and Research

Council for the Central Laboratories of the Research Councils

Freshwater Biological Association

Game Conservancy Trust

Harrison Zoological Museum

Marine Biological Association

Natural History Museum

National Museums of Scotland

National Museums of Wales

Royal Botanical Gardens

Royal Society for the Protection of Birds

Scottish Agricultural College

Scottish Association for Marine Sciences

Sir Alistair Hardy Foundation for Ocean Sciences

Wildfowl & Wetlands Trust

* Comprising the International Institutes of Biological Control, Entomology, and Parasitology and the International Mycological Institute.

ANNEX D - REMITS OF THE NATURAL ENVIRONMENT RESEARCH COUNCIL AND THE NERC PEER REVIEW COMMITTEES

Council Mission

To promote and support, by any means, high-quality basic, strategic and applied research, survey and long-term environmental monitoring and related post-graduate training in terrestrial, marine and freshwater biology and earth, atmospheric, hydrological, oceanographic and polar sciences and earth observation.

To advance knowledge and technology and to provide services and trained scientists and engineers which meet the needs of users and beneficiaries, thereby contributing to the economic competitiveness of the UK, the effectiveness of public services and policy, and the quality of life.

To provide advice, disseminate knowledge and promote public understanding of the aforesaid fields.

User Communities

Include Water, Construction, Process Hydrocarbons, Minerals, Forestry, Agricultural, Fishing and Remote-sensing Industries together with Nature Conservation and other Regulatory Agencies, Universities and Cognate Government Departments.

Environmental and Natural Resource Issues

NERC identifies five environmental and natural resource issues on the UK's agenda through which it focuses its research activities:

- Biodiversity
- Environmental Risks and Hazards
- Global Change
- Natural Resource Management
- Pollution and Waste

Remits of the NERC Peer Review Committees

Atmospheric Sciences

Atmospheric science and technology, from the land surface to the mesopause, including chemistry, physics, meteorology, climatology, modelling, instrument development, laboratory and field studies. The application and development of research and training in earth observation science and technology and work in polar regions.

Earth Sciences

Geological sciences; aeolian post depositional processes; glaciology (glacial tectonics, ice deformation); structural and tectonic studies; mineralogy; petrology and geochemistry, volcanology, sedimentology, palaeontology, taphonomy, terrestrial and marine geophysics; engineering and resource geology, geomorphology (ie solifluction), planetary geology, quaternary studies; dating methods; archaeological prospection techniques; processes affecting the archaeological record; development of trade and technology through the analysis of archaeological materials;

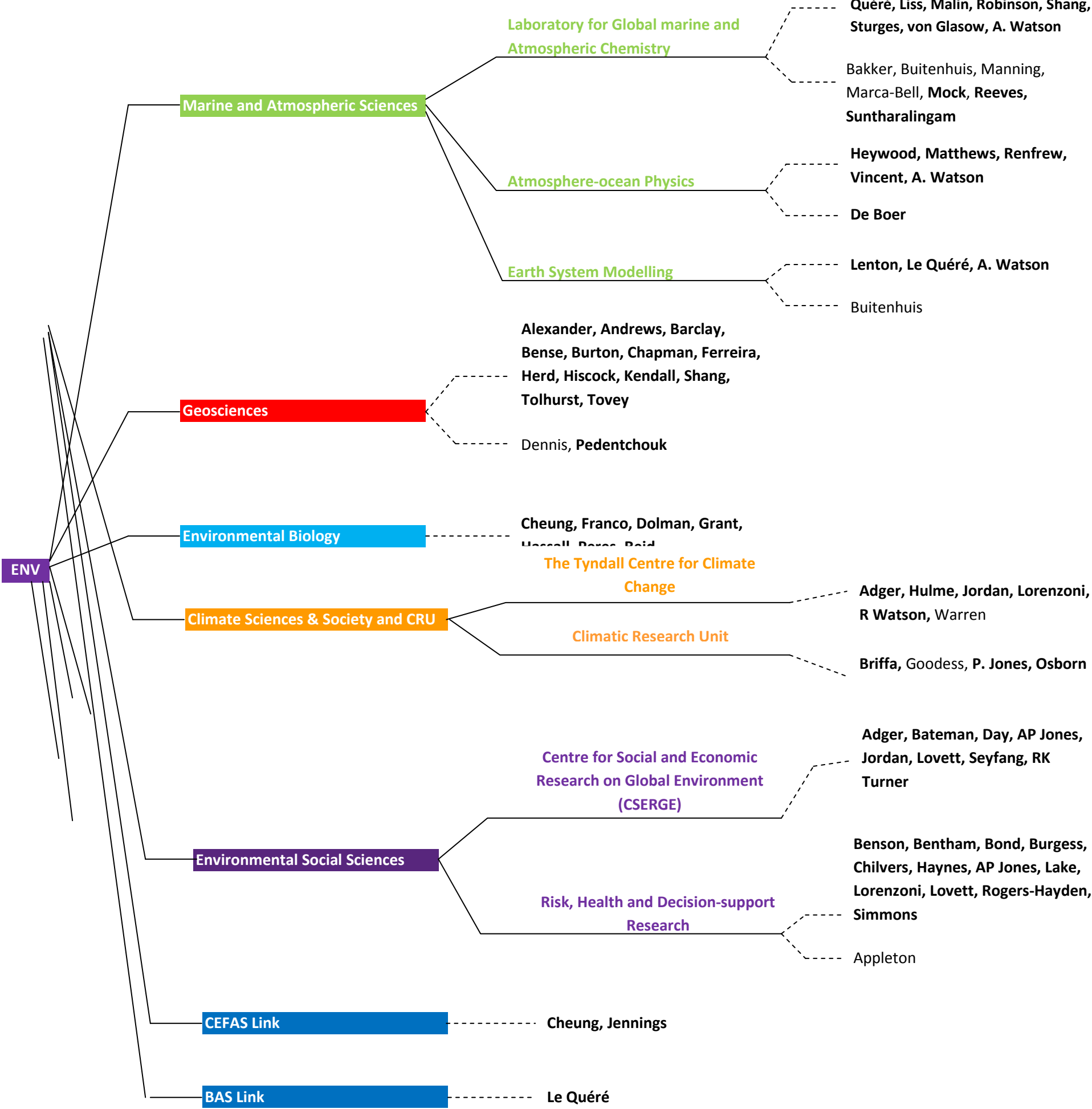
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Other Projects for Professor Philip Jones

Project Code	Project Title	Project Status	Principal Investigator	Lead Dept	Start Date	End Date	First Funder Name
R16118	Bench fee for Rainzahn Dambul	Project Archived	Professor Philip Jones	ENV	01/01/2008	30/04/2008	British Council (The)
R01857	SWURVE: Sustainable water uncertainty, risk and vuln Project Archived	Project Archived	Professor Philip Jones	ENV	01/12/2000	26/02/2004	CEC (Framework 1-5)
R01858	CLIWOC: Climatological database for the world's oceans Project Archived	Project Archived	Professor Philip Jones	ENV	01/12/2000	30/11/2003	CEC (Framework 1-5)
R01872	HOLSWEEPER: Late Holocene Shallow Marine Environment Project Archived	Project Archived	Professor Philip Jones	ENV	01/01/2001	30/06/2004	CEC (Framework 1-5)
R02459	European and North Atlantic daily to multidecadal climate Project Archived	Project Archived	Professor Philip Jones	ENV	01/11/2002	28/02/2006	CEC (Framework 1-5)
R12401	GAP	Project Archived	Professor Philip Jones	ENV	01/05/2004	30/04/2006	CEC (Framework 6)
R12270	DeSurvey	Final Claim Submitted	Professor Philip Jones	ENV	11/03/2005	10/03/2010	CEC (Framework 6)
R15579	CLARIS LPB - Europe-South America Network for Climate Live	Final Claim Submitted	Professor Philip Jones	ENV	01/10/2008	30/09/2012	CEC (Framework 7)
R14080	High-resolution climatic datasets	Final Claim Submitted	Professor Philip Jones	ENV	01/01/2008	28/02/2008	Council for the Central Laboratory of the Research Councils
R14792	Weather Generator for daily time series from the UK 2: Live	Project Archived	Professor Philip Jones	ENV	01/01/2007	31/12/2009	DEFRA
R14834	LINK - Climate Prediction Software for Impacts and Adaptation Project Archived	Project Archived	Professor Philip Jones	ENV	01/02/2007	31/07/2008	DEFRA
R12737	River Flow Series from 1860s to present	Project Archived	Professor Philip Jones	ENV	01/02/2004	31/03/2004	Environment Agency
R13355	The Impact of Climate Change on Severe Droughts: In Project Archived	Project Archived	Professor Philip Jones	ENV	01/02/2005	31/03/2006	Environment Agency
R13516	Environmental Effects of Agriculture & Land Use: Web Project Archived	Project Archived	Professor Philip Jones	ENV	01/02/2005	31/03/2006	Environment Agency
R02569	Construction of climate scenarios for the integrating framework Project Archived	Project Archived	Professor Philip Jones	ENV	01/04/2003	31/03/2006	EPSRC
R02571	CRANIUM: Climate change risk assessment; new impact Project Archived	Project Archived	Professor Philip Jones	ENV	01/04/2003	31/03/2006	EPSRC
R14250	SKCC (Sustaining Knowledge for Climate Change)	Project Archived	Professor Philip Jones	ENV	01/04/2006	31/03/2008	EPSRC
R14478	SCORCHIO: Sustainable Cities: Options for Responding to Final Claim Submitted	Project Archived	Professor Philip Jones	ENV	01/03/2007	31/08/2009	EPSRC
R15862	The use of probabilistic climate scenarios in building or Live	Project Archived	Professor Philip Jones	ENV	01/10/2008	30/09/2010	EPSRC
R16803	ARCADIA: Adaptation and Resilience in Cities: Analysis Live	Project Archived	Professor Philip Jones	ENV	03/09/2009	02/09/2012	EPSRC
R16540	Development of Design Summer Guidance for London Project Archived	Project Archived	Professor Philip Jones	ENV	01/02/2008	31/03/2008	Greater London Authority
R02198	Development of radiosonde database and its use to sit Project Archived	Project Archived	Professor Philip Jones	ENV	01/12/2001	30/11/2002	Meteorological Office
R12358	Investigating the role of surface vapour content change Project Archived	Project Archived	Professor Philip Jones	ENV	01/10/2003	30/09/2006	Meteorological Office
R13061	CRU involvement in the development of an improved global Project Archived	Project Archived	Professor Philip Jones	ENV	10/07/2004	31/03/2005	Meteorological Office
R01937	Investigation of the nature and causes of changes in M Project Archived	Project Archived	Professor Philip Jones	ENV	01/08/2001	28/02/2002	NERC
R13686	Scottish Temperature Indices	Project Archived	Professor Philip Jones	ENV	01/01/2005	30/04/2005	Scottish Environment Protection Agency
R02032	Accuracy of modelled extremes of temperature and climate Project Archived	Project Archived	Professor Philip Jones	ENV	01/04/2001	31/08/2003	UMIST Ventures Limited
R01220	Climate Data Analysis and Models for the Study of Natural Project Archived	Project Archived	Professor Philip Jones	ENV	01/05/1998	30/04/1999	US Department of Energy
R01977	Climate data and analysis from the study of natural variability Project Archived	Project Archived	Professor Philip Jones	ENV	01/05/2001	30/04/2004	US Department of Energy
R13192	Climate Data and Analysis for the Study of Natural Variability Project Archived	Project Archived	Professor Philip Jones	ENV	01/05/2004	30/04/2007	US Department of Energy
R14702	Climate Data and Analysis for the Study of Natural Variability	Project Archived	Professor Philip Jones	ENV	01/05/2007	30/04/2010	US Department of Energy

Supporting Document 15

School of Environmental Sciences Research Structure



Key:

Names in **BOLD** are academics

Names in LIGHT are research fellows, research officers or technicians

ATS staff are not included

Supporting Document 16

CRU Directors and Key Staff- Appointments Timeline

CRU DIRECTORS

NAME	DATES
Professor Hubert Lamb	1972 - 1978
Professor Trevor Davies (Acting Director)	1986-1987
Professor Tom Wigley	1978 - 1993
Professor Trevor Davies	1993 - 1998
Professor Jean Palutikof (co-Director)	1998 - 2004
Professor Phil Jones (co-Director)	1998 - 2004
Professor Phil Jones	2004 - 2009
Professor Peter Liss (Acting Director)	2009-current

CRU KEY STAFF

NAME	DATES
Professor Hubert Lamb	January 1972 - June 1997
Professor Tom Wigley	August 1975 - May 1993.
Professor Trevor Davies	September 1986 - September 1987 June 1993 - 1998
Professor Jean Palutikof	August 1979 - March 2004
Professor Phil Jones	November 1976 - current
Professor Keith Briffa (Deputy Director since 2004)	February 1977 - current
Dr Tim Osborn (Academic Fellow)	September 1990 - current
Dr Clare Goodess (Senior Researcher and CRU Research & Administration Manager)	January 1982 - current
Dr Nathan Gillett (Reader)	January 2005 - August 2008
Dr Mick Kelly (Reader)	October 1972 - March 2007
Professor Mike Hulme (Reader)	September 1988 - October 2000

Supporting Document 17

UEA Code for Research Staff

University of East Anglia

University Code for Research Staff

This Code provides a set of principles and aspirations for the employment and treatment of research staff at the UEA to ensure that the needs of both the University and this group of staff are met in keeping with their vital role in maintaining and developing the research reputation of the University.

1) Accountability

- The Principal Investigator (PI) is normally responsible for first line management, and all issues should be raised with him/her in the first instance.
- The Head of School (HoS) is responsible for the overall management of the School, and any queries which cannot be resolved by the first line manager should be raised with the HoS.
- The PI will discuss and set clear objectives at the start of the contract, to be reviewed at least annually.
- The University provides additional support from the Careers Service, Human Resources Division and CSED.
- Each School will have a Research Staff Coordinator (RSC) who will be able to provide advice and support, and will meet with individual researchers as part of their induction. The RSC will also act as a point of contact for researchers wishing to raise issues within a School.

2) Contracts

The nature of research funding is such that it is normally fixed-term, requiring particular expertise for the duration of the funding or project. This has inevitable consequences for the employment of research staff.

- The University reviews all employment contracts dependent on fixed-term funding six months before funding is due to expire.
- The PI or HoS will meet with the researcher at least four months before the end of fixed-term funding to explore whether other opportunities for funding or suitable employment are available.
- Researchers and Schools should work together to explore and apply for other sources of funding.
- Queries about employment contracts should be directed to the relevant Human Resources Manager.
- Where further funding is available, associated contract extensions should normally be for the full term of that funding.
- The University monitors redundancy procedures to ensure that every effort has been made to avoid losing staff.
- Specific information relating to the above processes can be found from the HRD website.

3) Status of researchers

- School and Faculties should ensure that research staff are appropriately consulted, adequately represented at all levels of decision making and suitably resourced, appropriate to their status as critical contributors to the research success of the University.
- Research staff should participate in the life of the University and, as they become more experienced, be willing to contribute to more activities within their Schools. Schools should, in turn, recognise and acknowledge these contributions.
- Researchers will be made aware of and may apply for promotion or special increments/discretionary awards to be considered by the School and Faculty Promotions Committees.

4) Support for researchers in developing and submitting grant proposals

- Researchers should seek out opportunities for funding. Schools and Faculties should encourage and support researchers in preparing and submitting grant applications, including publicising funding opportunities to research staff.
- Additional support and information on funding opportunities may be available from the Faculty Research Offices and the Research and Business Services Division.
- Wherever possible, if a grant is submitted with a named researcher, that researcher should be named as a co-applicant.
- Researchers should be given credit for their work and, where funding bodies permit, be allowed to submit grants as either principal investigators or co-investigators.
- The University should make representations to funding bodies to allow research staff to apply for funding as either principal or co-investigators wherever possible.

5) Teaching and Knowledge Transfer

- While the primary role of researchers is to undertake research as part of their career development, some staff may wish to take on appropriate additional activities such as teaching, outreach, further training or additional knowledge transfer activities outside the remit of their research project. Where they wish to, researchers should also be given every opportunity to participate in such activities.
- Any such activities must be appropriate to any external funding conditions which may set limits or expectations on the time which may be spent in undertaking of teaching, further training, outreach and other knowledge transfer activities.
- The University should recognise additional duties undertaken by research staff and continue to develop an appropriate and transparent recognition system for these contributions.

- Schools should have clear policies on how research staff can contribute to teaching and other activities.

6) Career development

- Where research staff wish to develop their skills by, for example, supervising students and other staff and taking on other responsibilities, Schools will facilitate and support these activities where appropriate.
- Schools will facilitate and support research staff in developing research proposals.
- Researchers should actively seek out appropriate activities for their personal and professional development. The University will widen the range of opportunities for training and development of research staff.
- PIs and line managers should ensure that they regularly discuss career development and future prospects with researchers. Every member of University staff is entitled to an appraisal/review.
- The University's Careers Centre provides specific support for research staff seeking to develop their careers.
- Researchers who wish to remain at the University should also take steps to monitor potential vacancies and consider how best to avail themselves of these opportunities. Individuals within six months of the end of their current funding will be eligible to join the University's Redeployment Register.
- Information regarding opportunities for employment within the University is advertised at <http://www.uea.ac.uk/hr/jobs>.

7) Implementation

- The University will regularly monitor levels of compliance with the Research Staff Guidelines. Within Schools, Research Staff Co-ordinators will consult researchers and report on implementation of the Code via the School's research committees (where they exist) and Associate Deans of Research. The ADRs will then report back to the Research Executive.
- This code will also be reviewed annually to ensure that it continues to meet the needs of the University and its research staff.

Induction for Researchers

It is the responsibility of the Head of School to ensure that all research staff are properly inducted into the School. The Research Staff Coordinator should liaise with the relevant PI(s) and support staff to determine the induction timetable. Induction should include:

Pre-start arrangements: computer, desk, office space, lab facilities (if appropriate), email registration, allocation of 'peer-mentor'.

Weeks 1-4: Meetings with:-

PI – discussion of University Code for Research Staff; raise awareness of CSED Introductory Conferences for New Staff, CSED Guidelines on Induction (<http://www.uea.ac.uk/csed/resources/inductguide.pdf>) ;

Peer Mentor (e.g. established member of research staff), who gives introduction to School, facilities. etc.;

Research Staff Coordinator, who provides information on support available in School and raises awareness of Researchers' Working Group, ResNet, Researchers Fora, etc, Research Administrator/Manager (Faculty);

School Research Director;

Safety Officer (where appropriate);

Laboratory Manager (or equivalent, where appropriate; special facility manager, where appropriate);

School or Group Secretary (where appropriate);

Note: There are circumstances where some aspects of this Code should be interpreted with an eye to local conditions. In ideal circumstances, a Research Staff Coordinator would not directly line manage research staff in his/her School. However, this may not always be appropriate, especially in small Schools where there is a small number of research staff. It may be more appropriate in such circumstances for arrangements to be made at Faculty level. Conversely, in bigger Schools with a large number of research staff it may still be the case that a PI is the best person for the position of a Research Staff Coordinator. In these circumstances, the School should consider how it best ensures that the interests of none of its research staff are compromised.

Supporting Document 18

UEA Academic Teaching and Research Staff Terms and Conditions of Appointment

UNIVERSITY OF EAST ANGLIA

MEMBERS OF THE ACADEMIC TEACHING AND RESEARCH STAFF TERMS AND CONDITIONS OF APPOINTMENT

These terms and conditions of appointment together with such other terms and conditions as may be specified in the letter of appointment from the University constitute the sole terms of the Contract of Employment.

Appointments of members of the academic and academic-related staff are subject to the Charter, Statutes, Regulations and Ordinances of the University.

The Council of the University is empowered by the Statutes of the University to appoint members of the University staff and to fix the salaries and conditions of tenure of posts to which it appoints.

1. Amendment of Terms and Conditions

The representatives of the University Council negotiate with representatives of the local branch of the University and College Union (UCU) on conditions of service for members of the academic and academic-related staff in the University and may determine alterations in the conditions of service for these categories of staff.

Changes may be made to the standard terms and conditions as required by Government legislation. Changes may also be made as a result of national or local agreement with the UCU. Such changes shall be published in writing by the University and shall apply to all terms and conditions individually as well as collectively.

Changes otherwise in terms and conditions of appointment shall not be recognisable or enforceable unless confirmed in writing by the University and accepted in writing by the individual or individuals concerned.

2. Appointment, Probation and Period of Notice

Appointments may be for such probationary period or for such fixed period as the University may determine. In the case of members of staff appointed to the Lecturer grades A or B who have not previously held a university teaching appointment, their appointments will be governed by a five-year probationary period. In determining the length of the probationary period, the Council will take account of previous relevant experience in an appointment as Lecturer. Before the end of the final year of the probationary period consideration will be given to confirmation of the appointment but no undertaking is given in advance that an appointment will be continued. Confirmation of appointment will be considered in the light of national and local agreements with the UCU.

Further details of the procedure are available from the Human Resources Division. A member of the Academic Staff may resign from an appointment at

any time on giving the Council of the University at least three months' notice in writing.

Current Government legislation states the minimum periods of notice to be given by the employer to the employee when the employer terminates a contract of employment. Terms and conditions of appointment do not normally state what period of notice is to be given in such circumstances but wherever a period of notice is stated it is to be understood that that period shall at no time be less than the minimum prescribed by current legislation. The employer and the employee are free to agree mutually on longer periods of notice than the statutory minima.

The normal retiring date will be the employee's 65th birthday with the option to retire at any time on or after reaching the age of 60.

3. Fixed Term and Temporary Appointments

All fixed term employees who have completed more than two years service at the expiry of their fixed term appointment, will have the right to a statutory redundancy payment, if the reason for non-renewal is redundancy.

A person who accepts appointment for a fixed period will be regarded as having thereby accepted notice of termination and no further notice will be given of expiry of appointment at the due date.

4. Stipends

Details of the scales currently in force in the University are attached. These scales are determined from time to time by the Council of the University in the light of national agreements and members of staff will be notified of any changes in these scales following their approval by the Council.

Stipends will normally be paid for each calendar month on the 28th of that month, brought forward to the previous working day if the 28th falls on a weekend or bank holiday. Payment will be by direct credit to each member's bank account. Persons appointed other than on the first day of any month will be paid for that month in proportion to the number of days in appointment.

5. Increments

The financial year of the University runs from 1 August to 31 July. Increments, when appropriate, will be paid to members of staff annually on 1 August except that when a member of staff is appointed after 31 March in any year no increment will normally be payable until 1 August in the following calendar year.

6. Superannuation

Subject to exceptional conditions specified in the letter of appointment and to the rules of the Scheme, membership of the USS is available, at the normal

employee contribution of 6.35%, to all members of Academic Staff who are aged under 60 years at the date of taking up appointment. Members aged over 60 years at the date of appointment may be admitted subject to satisfying certain criteria but will be required to pay an additional employee contribution of 1% over and above the normal employee contribution of 6.35%. Details of USS are available from the Director of Finance. Members of the Scheme are covered by a certificate contracting out of the State Second Pension (formerly the State Earning Related Pension Scheme (SERPS)).

Subject to eligibility, acceptance of this appointment in writing will be deemed to include acceptance of membership of USS from the date of employment, and contributions will be deducted accordingly, unless prior to taking up the appointment you declare in writing a wish not to be a member. Those already in receipt of a USS pension are not able to rejoin the scheme.

Those members over age 60 not having an automatic right to join should consult the Payroll & Pensions office.

A member subsequently deciding to change to a personal pension or to the State Second Pension may do so by giving the required notice in writing. If this is done within three months of the date of the commencement of employment withdrawal from the Scheme will have retrospective effect to that date and the member of staff will be deemed never to have been a member of USS. In that event any contributions made to the Scheme will be repaid and any necessary adjustments to tax and National Insurance deductions will be made.

A member deciding to withdraw from USS later than three months after the date of commencement of employment will be required to give a minimum of 28 days' notice in writing to the University, and in this event there will be no retrospection.

Payment of Pension Contributions

The University operates Pensions *Extra* which is a salary sacrifice arrangement that allows pension contributions to be made in a way which reduces the level of National Insurance Contributions. The employee's contractual gross pay is reduced by an amount equivalent to their pension contribution and, in return, the University increases its contribution by the same amount in order to provide the same pension benefit. Subject to certain conditions, members of USS will be automatically enrolled in Pensions *Extra* on joining the pension scheme. All members of USS and UEASSS are able to opt-in or opt-out of Pensions *Extra* at the time of joining the scheme, on the anniversary date of 1st November, or in the event of certain changes in personal circumstances. Full details are available from the University's Payroll and Pensions Office.

7. Duties

A member of the Academic Teaching and Research (ATR) Staff is required:

- i) to promote the study of his or her subject by teaching and research;
- ii) to assume such duties and responsibilities appropriate to the appointment as may be assigned to the member by the governing bodies of the University or by the Dean, Head of School or Director, as appropriate, acting on their behalf;
- iii) to examine without further payment in the examinations for degrees and diplomas of the University when required to do so.

8. Responsibility for Students

A member of the ATR Staff has no responsibility to appear in civil or criminal courts on behalf of a student. A member choosing to do so acts as a private citizen and should make this clear to the court.

It is a condition of appointment that a member of the ATR Staff is specifically not authorised to act on behalf of the University in any such matters. The University will in no circumstances accept liability for any such obligations into which a member of the ATR Staff may enter. (For example, a member of the ATR Staff, even in the capacity of an Adviser acting on behalf of an Advisee, is under no obligation to stand bail for, or to make statements on behalf of, a student).

9. Hours of Work and Work Outside the University

There are no specific hours of work for members of the ATR Staff but the appointments of such members are full-time and a member may not undertake any substantial or continuous engagement with other parties outside the University without the previous special permission of the Vice-Chancellor. In considering each case the Vice-Chancellor must reasonably be satisfied that acceptance of the work will not interfere unduly with the University duties of a member of staff.

It shall be the duty of the member when undertaking work outside the University, whether such work be paid or unpaid, to inform the concern for whom such work is undertaken that it is being undertaken privately and that the University will not in any circumstances accept responsibility for any such work.

Subject to the foregoing the University recognises that staff may properly be asked to undertake duties of an academic nature outside the University.

10. Holidays and Holiday Pay

There are no specific conditions relating to holidays laid down by the University for members of the ATR Staff. Holidays should normally be taken during University vacations, the dates being arranged with the appropriate

Dean, Head of School or Director. Full salary is payable during holidays. If there is an outstanding leave entitlement on termination of a member's employment, the member shall be entitled to payment in lieu, the amount being determined pro rata to his or her salary. For the purpose of calculating payment in lieu, annual leave entitlement shall be deemed to be six weeks.

11. Sick Leave and Sick Pay (*see also accompanying Sickness Absence Guidelines*)

A member of the ATR Staff who is unable to carry out his or her duties because of sickness or injury must report this to the Dean, Head of School or Director on the first day of sickness. Unfitness to carry out one's duties for any period of up to seven days (including Saturdays, Sundays and public holidays) must be supported by the completion and submission of an approved University Personal Sickness Certificate and for more than seven days must be supported by production of a doctor's statement (medical certificate). Payment of stipend during absence from duty because of sickness or injury will be made as follows:-

During the first and second years of service, the normal period of sick leave on full stipend or salary shall be three months. Payment for any period of sickness or incapacity beyond an initial period of three months shall be at the discretion of the Council.

During the third year of service the normal period of sick leave on full stipend or salary shall be four months. Payment for any period of sickness or incapacity beyond an initial period of four months shall be at the discretion of the Council save that payment during the subsequent four months shall not be less than half pay.

During the fourth year of service, the normal period of sick leave on full stipend or salary shall be five months. Payment for any period of sickness or incapacity beyond an initial period of five months shall be at the discretion of the Council save that payment during the subsequent five months shall not be less than half pay.

During the fifth and subsequent years of service the normal period of sick leave on full stipend or salary shall be six months. Payment for any period of sickness or incapacity beyond an initial period of six months shall be at the discretion of the Council save that payment during the subsequent six months shall not be less than half pay.

Periods of sick leave are aggregated within any span of twelve months. Permitted periods are renewed in full at the beginning of each subsequent period of twelve months.

A member of staff who is absent as a result of an accident shall not be entitled to sickness payments if damages are receivable from a third party. In these circumstances the Council may advance to the employee a sum not exceeding the sickness payments provided for above, subject to the

employee undertaking to refund to the Council the total amount of such payments received or the proportion thereof represented in the amount of damages received.

In calculating the period during which salary shall be paid in accordance with this condition of employment, account shall not be taken of absence due to the following:-

- i) Absence on the advice of the member's doctor in order to prevent the spreading of an infectious disease with which the member has been in contact.
- ii) Absence owing to notifiable infectious or contagious illness which an independent doctor nominated by the University with the agreement of the member or of the local branch of the UCU acting on his or her behalf is satisfied was contacted directly arising out of a member's employment, including travelling on duties connected with the work of the University.
- iii) Absence for a period not exceeding six months due to an accident or illness, the occurrence of which the University in the former and a doctor acting on behalf of the University in the latter case is satisfied arose directly out of a member's employment, including travelling on duties connected with the work of the University.

12. Study Leave and Leave of Absence

Attention is drawn to the University Ordinance governing the granting of Study Leave and Leave of Absence; details of the Ordinance appear in the current edition of the University Calendar. Leave of absence on compassionate grounds may be granted in accordance with the Ordinance.

13. Absence on Approved Public Service

The University shall, in accordance with the Employment Rights Act 1996, permit staff who are formally engaged in public service work to take time off for the performance of public duties as specified by the Act (eg. serving as a J.P. or as a member of a Local Authority). Such permission shall be granted, having regard to the relevant factors as specified by the Act (ie. the effect of the absence of the member of staff concerned, the demands of the duties of the post held, etc.) and in accordance with the resolution of the University Council of 24 April 1972 which reads as follows:

"Leave of absence for the purpose of undertaking approved public service would be granted by the Dean, Head of School or Director within the authority already granted to them by the Ordinance for leave of absence (ie. up to seven days). Such approved leave of absence would not involve any deduction from University salary.

All requests for leave of absence in excess of seven days must be approved by the Vice-Chancellor on the recommendation of the Dean, Head of School or Director and that where there was eligibility to claim for loss of earnings an equivalent deduction would be made from salary paid by the University."

14. Maternity/Paternity/Adoption and Parental Leave

Arrangements for maternity/paternity/adoption and parental leave are set out in the appropriate agreements. Written details of these and their application may be obtained from the Human Resources Division or HR Intranet.

15. Relocation Expenses

Members of staff are entitled to claim relocation expenses on taking up appointment in accordance with the provisions set out in the appended statement.

16. Patents, etc.

Members of the ATR Staff shall not, in connection with any invention, patent, process or manufacture, have authority to make representations on behalf of the University, or to enter into any contract or to be concerned in any transactions on behalf of the University whatsoever without the express consent of the Council.

17. Rights in Relation To Trade Union Membership

A member of the ATR Staff has the right to be a member of a trade union, should he or she so choose, and the right not to be a member, should he or she so choose. The University recognises the UCU as having negotiating rights on behalf of members of staff appointed under these terms and conditions.

(Further details concerning rights in relation to trade union membership appear in the accompanying Staff Recognition and Procedure Agreement between the University and the recognised unions).

18. Grievance Procedure

A member of staff who feels he or she has an employment-related grievance should initially raise the matter with his or her immediate supervisor, sector head or equivalent manager. If there is no suitable person at this level with whom to discuss the grievance, or if the discussion has not resolved it to the member's satisfaction, the member of staff should raise the matter with the Dean, Head of School or equivalent senior officer.

Further details concerning the Grievance Procedure are available from the Human Resources Division.

19. Dismissal

Statute 7 of the University's Statutes sets out the provisions governing the dismissal of members of the academic staff and members of the academic-related staff granted the status of members of the University.

A member of staff who is dismissed from his or her appointment is entitled to be provided by the University, on request, within 14 days of that request, with a written statement giving particulars of the reasons for dismissal.

20. Part-time Staff

Part-time staff in appointments in which they are paid an annual stipend are covered in all other respects by the foregoing terms and conditions of service for full-time staff on a pro rata basis.

21. Contracts of Employment

To meet the provisions of current employment legislation, it is hereby stated that no employment with a previous employer counts as part of the employee's continuous service with the University unless otherwise stated in writing by the University.

Human Resources Division

UNIVERSITY OF EAST ANGLIA

ACADEMIC TEACHING AND RESEARCH STAFF (ATR)
ACADEMIC TEACHING AND SCHOLARSHIP STAFF (ATS)
ADMINISTRATIVE, LIBRARY AND COMPUTING STAFF (ALC)

RELOCATION EXPENSES

1. Staff who on first appointment to the University move to the area will normally be eligible for reimbursement of certain costs incurred, as set out in the following paragraphs.

Relocation expenses should normally be claimed in full by the end of the tax year following the one in which the employee commences employment.

2. For those appointed full-time to established posts or for a fixed term of not less than three years, the following expenses may be claimed:
 - (a) the cost (including insurance in transit) of removing furniture and household effects, based on the lowest of three estimates; and
 - (b) the cost of storage of furniture and household effects for a maximum period of three months; and
 - (c) up to a maximum sum equivalent to one month's gross salary on appointment, for other approved expenditure associated with the employee's move to the area, (satisfactory evidence of and receipts for which must be provided,) including legal costs, estate agency and surveyor's costs, and temporary housing costs.
3. For those appointed in the categories specified in Paragraph 2 above who move to the area from outside the United Kingdom, the following expenses may be claimed in addition to items, (a), (b) and (c) above:
 - (d) the cost of single economy or tourist air fares for the member of staff, his or her spouse/partner and dependent children.
4. For those appointed full-time for a fixed term of between two and up to three years, two-thirds of the sums payable under items (a), (b) and (c) and, where appropriate, (d) may be claimed.
5. For those appointed full-time for a fixed term of less than two years, one-third of the sums payable under items (a), (b) and (c) and, where appropriate, (d) may be claimed.

6. Part-time employees will be eligible for reimbursement, in accordance with length of contract, on a pro-rata basis.
7. Any member of staff in the categories specified in Paragraphs 2 or 3 above who leaves the University's employment after less than three years' continuous service shall be required to repay to the University one-twelfth of any sums received under items (a), (b), (c) and (d) above for each quarter (ie. 3 months) by which his or her period of employment falls short of three years. Any member of staff in the category specified in Paragraph 4 above who leaves the University's employment after less than two years' continuous service shall be required to repay to the University one-twelfth of any sums received under items (a) (b), (c) and (d) above for each quarter by which his or her period of employment falls short of two years. Any member of staff in the category specified in Paragraph 5 above who leaves the University's employment after less than one year's continuous service shall be required to repay to the University one-twelfth of any sums received under items (a) (b), (c) and (d) above for each quarter by which his or her period of employment falls short of one year.

Any such repayment shall wherever possible be deducted from the member of staff's salary prior to leaving.

8. In the event of two members of a single household both taking up appointments at the University at any time, not necessarily coincidentally, the relevant allowances described above are payable to either one but not to both.
9. Claims for payment of relocation expenses should be made to the Human Resources Division, accompanied by estimates where required under the terms set out above and by receipted accounts for expenditure incurred.
10. It should be noted that any tax liability that accrues through the reimbursement of relocation/removal expenses will be the responsibility for the individual member of staff concerned. Further advice on this is available from the Payroll Manager on request (tel. extension 3484).

Supporting Document 19

Formal Offer of Employment Letter

Personal and Confidential

Dear

FORMAL OFFER OF EMPLOYMENT

Further to your recent interview I am writing formally to offer you employment with the University as * in the * within the Faculty of *. The post is offered on an indefinite basis with effect from *, and is full-time.

Your salary will be £* per annum, on point * of Academic Teaching and Research Grade * on the single salary spine.

The appointment will be in accordance with the enclosed terms and conditions for Academic, Teaching and Research staff.

Verification of Entitlement to Work in the United Kingdom

In your application you have stated that your nationality is British. The provisions of the Immigration, Asylum and Nationality Act 2006 require the University to verify that you are entitled to work in the United Kingdom. At the interview stage you were requested to bring the original and photocopy of an appropriate document showing your entitlement to work in the UK. I can confirm that the document you provided at interview satisfies the University's check of your eligibility to work in the UK.

The appointment is subject to the following:

- **Probation**

It is the University's standard practice, in accordance with the relevant local agreement, to apply a five year probationary period to members of Academic staff, and this will therefore apply to your contract.

- Members of academic staff on probation are required to undertake a course of study in the University's MA in Higher Education Practice, wherever possible to begin in the first year of appointment. Confirmation of appointment will be subject to the successful completion of the Certificate, with the Diploma and the MA as optional. An outline of the Programme will follow. You will be contacted by the Centre for Staff and Educational Development further to commencement of your appointment.

- **Certificates of Qualifications**

The provision of original certificates of educational and professional qualifications.

- **Occupational Health Clearance**

Satisfactory clearance by the Occupational Health Department following completion of an Employment Health Assessment form. The forms are enclosed together with an envelope for their return to the Occupational Health Service **by** *.

- **Criminal Records Bureau Check**

The receipt by UEA of an Enhanced Disclosure from the Criminal Records Bureau (CRB) that is satisfactory to the University. Further details outlining the procedure will be sent to you on receipt of your signed Acceptance of Appointment Slip.

Please note: you are expected to meet the cost of obtaining a satisfactory Disclosure and a deduction will automatically be made from your salary shortly after receipt of the Disclosure. The present cost of an Enhanced Disclosure is £36. In connection with the CRB Disclosure, please also note that due to delays in receiving Disclosure information from the CRB, it has been agreed that you may commence work at the start date of this contract subject to a risk assessment having been completed by the *.

Higher Statistics Education Agency (HESA)

I enclose a HESA Staff Return Form **for your completion and return with your acceptance of this appointment.** The information requested forms your HESA record and the University is required to submit this information on an annual basis to the Higher Education Statistics Agency (HESA). HESA will pass your record, or parts of it, to a number of organisations that need it to carry out their statutory functions connected with funding higher education. HESA and these organisations will use the information (which will not include your name) mainly to produce statistics. This may result in information being published and released to other approved users. Your record will not be used in a way that could affect you personally. Under the Data Protection Act 1998, you have the right to a copy of the information HESA holds about you. If you wish to access this information please contact the University's Data Protection Officer. Further information on HESA is available at <http://www.hesa.ac.uk/>

Changes to contact details

Could you please ensure that any change to your contact details in respect of your home address, home telephone number and mobile telephone number is notified to the Human Resources Division as soon as possible. This information may be needed in case of emergency and is also a legal requirement for those employees whose employment is dependent on a visa.

Any change to contact details should be notified to the Human Resources Division through the intranet pages

<http://www.uea.ac.uk/ueanetwk/reg/hrd/hr/contact/address.html>, in writing or via e-mail to hr@uea.ac.uk.

Display Screen Equipment User:

If in your role at the UEA you will be using computers or other similar display screen equipment (DSE) for an hour or more continually then you are deemed a DSE user and the DSE regulations apply to you. This means that you **must** undertake the DSE training which is provided by the UEA Safety Services, and complete a risk assessment of your workstation, within the first three months of your employment.

You also have the right to access the university's vision screening facility through the Occupational Health department, or to request an optician's appointment, if you experience eyesight problems in relation to the use of your DSE.

If you accept this post, and will be using DSE for more than one hour per day on average, you **MUST** contact Janet Samuel in University Safety Services on extension 2763 within your first month of employment, to arrange to undertake the DSE training session.

Introductory Conference for New Staff:

You will be invited to attend the Introductory Conference organised by the University's Staff and Educational Development Advisory Group and details of this will be circulated later.

Salaries:

If you accept this post, please ensure that you make an appointment to see the Salaries Office on your first day of employment (or as soon as possible thereafter) to give them the information requested in the attached document (telephone: 01603 592676 or 01603 592677).

Please could you confirm your acceptance of this appointment on the terms and conditions offered by signing and returning the attached acceptance slip as soon as possible.

I look forward to receiving your acceptance shortly and to you taking up your new post at the University of East Anglia. Please do not hesitate to contact me if you wish to discuss any aspect of this offer.

Yours sincerely

Human Resources Manager

cc Head of School,*
 HRSA

Enc: Acceptance of Appointment Slip
Terms and Conditions (and pay scales)
Pre-Employment Health Questionnaire
HESA Staff Return Form
Acceptance Procedure – Salaries Office
Universities Superannuation Scheme booklet
Academic Staff – Rules & Procedures for confirmation, promotion & salary review
Grievance Procedure for Academic Staff
Safety Statement Policy
Equal Opportunities in Employment
Sickness Absence Guidelines and Personal Sickness Certificate
Statement of Policy on the Recruitment of Ex-Offenders
For the “Applicants Guide to Completing the Disclosure Application Form” please refer to the CRB website: <http://www.crb.gov.uk/>

Please refer to the HR intranet for other employment procedures and equality and diversity documentation.

You should also familiarise yourself with the University's policies, procedures and guidelines, including the following policies:

- Research Ethics Policy
- Guidelines on Good Practice in Research
- Procedures for Dealing with Allegations of Misconduct in Research
- Consultancy Policy

which can be found at:

https://intranet.uea.ac.uk/polopoly_fs/1.123442!Consultancy%20Policy2009%20v.pdf

- Assuring and Enhancing Teaching Quality – A Code of Practice
which can be found at: <https://www.uea.ac.uk/ltqo/keydocs/codesofpractice>

- Public Interest Disclosure Policy
which can be found at: https://intranet.uea.ac.uk/polopoly_fs/1.73624!pid.pdf

ACCEPTANCE OF APPOINTMENT SLIP

To: *, Human Resources Manager

From:

(* Please delete as appropriate)

I confirm that I *accept / do not accept the offer of appointment as * in the *, Faculty of *, on the Terms and Conditions contained in your letter of *.

I also enclose my completed HESA Staff Return Form and any other documentation requested.

Signature:..... **Date:**

Please note that failure to return this slip and accompanying requested documents will mean that the Human Resources Division will not be able to arrange for you to be paid.

In accordance with our Local Agreement your work contact details and date of commencement of employment will be disclosed to the appropriate Trade Union. Please contact your Human Resources Manager if you do not wish this to happen.

Please return to:

Human Resources Division
The Registry
University of East Anglia
Norwich
NR4 7TJ
England

Supporting Document 20

Application for Employment

STRICTLY CONFIDENTIAL

APPLICATION FOR EMPLOYMENT

Please complete in black



Academic and Related Staff Appointments

This form and the Equal Opportunities Monitoring Form must be completed and returned as part of your application for the advertised appointment. If you are submitting this form by post it should be accompanied by 3 copies of a curriculum vitae, and 3 copies of a statement of your interest in, and your suitability for, the post.

SECTION 1

Post Applied for

Department/School

Advertisement Ref No

Title

Last Name

First Name(s)

Home Address

Post Code:	
Telephone - Day:	
Evening:	
Mobile:	
Email Address:	
Skype / Fax:	

First Date Available for Employment

Current Salary

Ni Number

Nationality

Do you require any of the following to take up employment in the UK?

Sponsorship Certificate Yes ☐ No ☐

Worker Registration Certificate Yes ☐ No ☐

Entry Clearance/Unlimited Leave to Remain Yes ☐ No ☐

SECTION 2

Please indicate below details of your degree or other relevant qualifications

Awarding Institution	Details of Qualifications	Grade or Class	Date Awarded

SECTION 3

Current employment – please provide details and dates of your current employment

Employer	Position	Date From	Date To

Please ensure that your accompanying CV contains the following information

- Details and dates of your current employer/employment
- Details and dates of any previous occupation/employment
- Lists of publications etc, where relevant to the advertised post
- Any other relevant information about your experience and interests to which you wish to draw attention
- A supplementary statement about your interest in, and suitability for, the post

SECTION 4

Have you ever been held to have committed misconduct in research, or are you under formal investigation for misconduct in research? Yes ☐ No ☐

If you have answered 'yes' please provide details in a sealed envelope marked 'For the attention of the HR Manager' and attach it to your application. If you are returning this form electronically please send details as a separate e-mail attachment entitled 'Misconduct in Research - FAQ the HR Manager'



Positive About Disabled People – The University holds the "Two Tick" symbol and guarantees to interview all disabled applicants who meet the essential minimum person specification criteria required for the post. For the definition of disability and to disclose, please see the equal opportunities monitoring form.

Please provide the names and addresses of three people who have consented to act as referees on your behalf, one of whom, if possible, should be your present or last employer. In naming referees, you are particularly requested to give only the names of those who can be approached immediately. It is our policy normally to take up references prior to interview. (Please see Guidance notes)

1. Current or most recent employer

Full name and title _____
Address _____
Post Code _____ Email address _____
Telephone (inc. area code) _____ Fax number _____
Relationship – should be manager _____

2. Second Referee

Full name and title _____
Address _____
Post Code _____ Email address _____
Telephone (inc. area code) _____ Fax number _____
Relationship – Line Manager/Colleague _____

3. Third Referee

Full name and title _____
Address _____
Post Code _____ Email address _____
Telephone (inc. area code) _____ Fax number _____
Relationship – Line Manager/Colleague _____

I confirm that all personal details provided in this application form, the equal opportunities form and any accompanying documentation are correct, and understand that any false statement could result in the appointment being declared invalid.

If you are submitting this form electronically, please enter your name or your electronic signature below. In doing so, you confirm that the above statement is correct, as if the document had been signed and dated by hand.

Signed _____

Date _____

Data Protection Act 1998

If you submit an application for employment, the University will record and use the information which you provide for the purpose of dealing with your application and if the application is successful, for establishing your personnel record and for compiling Higher Education statistics. The information will not be kept any longer than is necessary for these purposes. Personal data provided on the Equal Opportunities Monitoring Form will be recorded and used for the purpose of monitoring the University Equal Opportunities Policy and for statistical purposes. By submitting an application for employment, you are consenting to the recording and use of the information which you supply.

Please send the completed form and the accompanying documents to:

Human Resources Division
University of East Anglia
Norwich NR4 7TJ
e-mail hr@uea.ac.uk