

# Terms and Conditions of Faraday Institution Training Grants

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## Introduction

### Terms and Conditions of Faraday Institution Training Grants

These conditions relate to Faraday Institution Training Grants (FITGs).

These conditions should be read in conjunction with:

- The relevant Faraday Institution Training Grant offer letter;
- all relevant Faraday Institution statements, policies and guidance, as and when published at [www.faraday.ac.uk](http://www.faraday.ac.uk); and
- all relevant UK Research and Innovation (UKRI) (previously Research Councils UK) statements, policies and guidance, including in particular the UKRI's Statement of Expectations  
<https://www.ukri.org/files/legacy/skills/statementofexpectation-revisedseptember2016v2-pdf>

## Background

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

The Faraday Institution (FI) is a virtual Research Organisation created to deliver mission inspired research in energy storage technologies.

The Faraday Institution receives Training Grants for the purpose of funding students to undertake PhDs.

The Faraday Institution distributes its TGs by making a number of Faraday Institution training grants (FITGs) to selected institutions (Research Organisations) in accordance with this single set of core conditions. Subject to these conditions, Research Organisations can decide the format (e.g. part-time, industrial or work placement) of the studentship. The level of stipend and the duration of studentships is as set out in the relevant offer letter. The full stipend must be passed onto the student, subject to student eligibility (FI TGC 6) Any location or subject specific enhancement will be included in the stipend specified in the relevant offer letter.

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

Acceptance of a FITG constitutes acceptance of these conditions and any additional conditions set out in the relevant offer letter. These conditions also apply to activities subcontracted to 3rd parties. These conditions cannot be waived or varied without the consent of the Faraday Institution. Any request by the grant holder to the Faraday Institution to vary these conditions must be submitted in writing to the Faraday Institution and approved in writing by the Director of the Faraday Institution.

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

The Faraday Institution reserves the right to amend these conditions.

## Definitions

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

**Training Grant Condition (TGC):** Conditions which are required to enable the Faraday Institution to comply with its obligations to a Research Council in respect of the FITG are prefaced by the letters FITGC.

**Training Grant Guidance (TGG):** Conditions which are required to comply with the UKRI Guidance on Training Grants are prefaced by the letters FITGG.

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

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

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

**Gateway to Research** is a web-based portal <http://gtr.ukri.org/> that provides access to information about research funded by the seven Research Councils and Innovate UK. Data made available via GTR includes information about the individual awards, projects, people, organisations, publications and outcomes of publicly funded research. GTR aims to increase impact by making information on publicly funded research more accessible

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

**Research Organisation (RO):** The organisation to which the FITG is awarded and which shall take responsibility for the management of the research training programme and the accountability of funds provided under these conditions.

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

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

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

**Third Party:** any person/organisation to which the RO passes on any of the FITG funds.

## (A) Regulations

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

The Faraday Institution will use information provided on the RO's application for an FITG, for processing the application or in relation to the administration of the FITG, for the award of any subsequent grant, and for the payment, maintenance and review of the grant. This includes data submitted through the JeS Student Details (SD).

Use of submitted data may include:

- Registration and processing of applications;
- Operation of grants processing and management information systems;
- Preparation of material for use by reviewers and peer review panels;
- Administration, investigation and review of grant proposals;
- Sharing proposal information on a strictly confidential basis with other funding organisations, including the relevant Research Council(s)
- To seek contributions to the funding of proposals
- Statistical analysis in relation to the evaluation of postgraduate training trends
- Policy and strategy studies.
- Assisting the relevant Research Council to meet its obligations for public accountability and the dissemination of information.
- Making it available on the Faraday Institution website and/or for the relevant Research Council's website and other publicly available databases, including Gateway to Research, and in reports, documents and mailing lists.

The Faraday Institution may transfer data to the relevant Research Council and UKRI for further processing for the above purposes.

Data that may be made available on the Faraday Institution and/or Research Councils' web sites and other publicly available databases and in reports, documents and mailing lists will include the following data:

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

Research Organisations must ensure that students, supervisors and project partners are made aware what information, including personal data is collected and processed, in compliance with their obligations under the General Data Protection Regulation (GDPR). This includes what data will be provided to the Faraday Institution and Research Councils, and how

information about their studentship will be used by the Faraday Institution, Research Councils and the Research Organisation.

Students may choose to opt out of being contacted at any point, provided they comply with all other conditions associated with the FITG.

The General Data Protection Regulation (GDPR) comes into effect on May 25th 2018. All personal data collected by the Faraday Institution during the application for or funding of a Grant will be handled in accordance with the GDPR principles.

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

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

Attention is drawn to the provisions of the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations (EIRs). Research Councils have issued Publication Schemes, which set out the types of information publicly available on their websites or published as documents.

In addition, Research Councils have an obligation to respond to specific requests and may be required to disclose information about or provided by the Faraday Institution and /or Research Organisations. This may include information provided by the RO to the Faraday Institution. In some cases, the Research Council may consult the Faraday Institution and/or 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 the Faraday Institution and/or direct 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. Where the Research Council consults with the Faraday Institution before disclosure, the Faraday Institution will draw its attention to this explanation, but the Research Council is not obliged to accept it as binding.

Where a Research Council determines that the Faraday Institution and/or 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 or the Faraday Institution and in any event within five working days.

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

## (B) Responsibilities of the Research Organisation

### FI TGC 3 Responsibilities of the Research Organisation

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

In particular, the Research Organisation must ensure that:

- Diversity and equality must be promoted in all aspects of the recruitment and career management of students
- Adequate facilities and resources are made available for the research training;
- A safe working environment is provided, meeting the requirements of health and safety legislation, and any other legislation concerning the health, welfare and rights of students, including the Data Protection Act and – from 25 May 2018 – the GDPR;
- Projects lie within the remit of the Faraday Institution;
- Research Training Programmes contain good training in generic and transferable skills.

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

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

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

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

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

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

Research Organisation shall provide the Faraday Institution and/or Research Council on request with details of expenditure of the FITG by any third party.

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

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

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

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

### FI TGC 3.1 Student Complaints/ Difficulties

The Research Organisation is responsible for ensuring that students and supervisors are aware of the conditions and any associated guidance of the FITG.

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

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

## (C) Research Governance

### FI TGC 4 Research Governance

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

#### FI TGC 4.1 Research Ethics

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

#### TGC 4.2 Not used

#### TGC 4.3 Not used

#### FI TGC 4.4 Health and Safety

The Research Organisation is responsible for ensuring that a safe working environment is provided for all individuals associated with a student's research project. Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice recommended by the Health & Safety Executive.

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

The Faraday Institution and/ or Research Councils shall have the right to require the Research Organisation to undertake safety risk assessment in individual cases where health and safety is an issue, and to monitor and audit the actual arrangements made.

## FI TGC 4.5 Misconduct and Conflicts of Interest

The Research Organisation is required to have in place procedures for governing good research practice, and for investigating and reporting unacceptable research conduct, that meet the requirements set out in the Concordat to Support Research Integrity (2012) <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx> and the Research Councils' Policy and Guidelines on Governance of Good Research Conduct <https://www.ukri.org/about-us/policies-and-standards/research-integrity/>.

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

## FI TGC 4.6 Modern Slavery Act 2015

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

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

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

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

## (D) Use of Funds

### FI TGC 5 Use of Funds

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

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

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

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

The Faraday Institution requires public funds to be deployed with due consideration to value for money across all activities.

All travel claims should evidence value for money as the primary consideration. Consequently, these should only include travel by standard class by train and economy class by air for flights. Any exception should be clearly justified and approved within the terms of the RO policy.

### FI TGC 5.1 Student Eligibility

The use of funding to provide full awards or fees-only awards should be in accordance with student eligibility as defined by EPSRC. <https://epsrc.ukri.org/skills/students/help/eligibility/>. ROs must comply with this Guidance when assessing candidates to receive an award from the Faraday Institution.

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

### FI TGC 5.2 Part-time study

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

### FI TGC 6 Student eligibility

The following section outlines the eligibility rules for Research Council postgraduate funding (from which the FITG is funded).

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

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

## FI TGC 6.1 Residence requirements

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

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

To be eligible for a fees only award:

- Students from EU countries other than the UK are generally eligible for a fees-only award.
- To be eligible for a fees-only award, a student must be ordinarily resident in a member state of the EU; in the same way as UK students must be ordinarily resident in the UK.
- Note: These eligibility criteria are based on the Education (Fees and Awards) (England) Regulations 2007 and subsequent amendments.

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

## FI TGC 6.2 Student Training

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

The RO must comply with UKRI Guidance and any conditions agreed with the Faraday Institution when deciding how to allocate funds.

Students may be full or part-time. The Research Organisation may decide on the period of support for individuals. Doctoral Studentships will range between three years and up to a maximum of four years full time support depending on the student, subject and Faraday Institution and Research Council expectations. Research Organisations must agree with students, at the outset, the expected start and end dates for the funded period of study. Part time awards should not be less than 50% of full time. Where the period of support for a student

extends beyond the end date of a Training Grant, the balance of support can be provided by the next or subsequent Training Grant or from another source.

For any studentship where funding is drawn from a FITG, where a student is eligible for a full award, at least 50% of the total cost of the studentship must be drawn from the FITG. The remaining costs may be funded from other sources. From the point of the award, a student must not be expected to bear the cost of any shortfall in funding.

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

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

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

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

### FI TGC 6.3 Changing between full-time and part-time study

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

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

ROs should not, without consultation with the Faraday Institution, agree:

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

### FI TGC 6.4 Extensions, Suspensions and Terminations of Studentships

The Faraday Institution expects students to complete their training in a single continuous period and do not encourage the suspension of awards. Where suspensions are agreed, total periods of suspension must not normally exceed one calendar year during the lifetime of the award. Sympathetic consideration should be given to requests for abeyance due to personal

or family reasons. The studentship end dates and expected submission dates should be amended on the Je-S SD to reflect periods of abeyance.

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

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

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

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

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

## FI TGC 6.5 Extensions

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

## FI TGC 6.6 Early submission

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

### FI TGC 6.7 Annual Leave

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

### FI TGC 6.8 Student Transfers

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

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

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

### FI TGC 6.9 Decision not to transfer to doctoral study

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

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

It may be agreed that the student can continue towards a Master's qualification and this will be confirmed as the exit point for that student. In this case, it is permissible for the student's funding to continue up to the date the dissertation is submitted. The RO must make every effort to ensure the decision to proceed to a Master's instead of a doctorate is taken as soon

as possible. Once agreed, there must be a clearly communicated and timely deadline for completion of the Masters. In addition, please note that all students who continue studies beyond one year are included in the annual submission survey and Masters-level qualifications are not recorded as doctoral outcomes.

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

### FI TGC 6.10 Disabled Students' Allowances

ROs should be aware that students funded from any Research Council Training Grant are eligible for additional support from the Research Council where, because of disability, they are obliged to incur additional expenditure in undertaking their training. See the UKRI Disabled Students' Allowances Framework Document and guidance from the EPSRC on the Disabled Students' Allowance (<https://epsrc.ukri.org/skills/students/dta/dsa/>).

ROs must comply with the UKRI Framework Document in carrying out individual assessments and, if appropriate, applying for additional funding. Application and payment arrangements will be as specified by the UKRI, save that the RO should submit any claim form to the Faraday Institution, rather than direct to the UKRI, annually in advance of the UKRI deadline. The Faraday Institution will submit all appropriately completed claim forms to the RC for consideration and payments will be made only on receipt of additional funds from the RC.

### FI TGC 6.11 Place of Tenure

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

### FI TGC 6.12 Demonstrating, Teaching and Other Paid Work

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

### FI TGC 6.13 Other income and awards

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

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

## (E) Training Grant Arrangements and Starting Procedures

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

Training Grants are for a specified number of years, adopting fixed start and end dates.

The Research Organisation must formally accept the FITG by completing and returning the acceptance of grant in the offer letter to the Faraday Institution not later than 1 month of the offer letter being issued. Returning the acceptance of grant will result in a finance forecast being issued. The FITG may lapse if the offer letter is not returned by the Start Date. Submission to the Faraday Institution of the acceptance of grant form within the above deadlines will be taken as acceptance of the FITG on these conditions and any additional conditions set out in the offer letter.

The Head of Programme Management at the Faraday Institution must be notified by email ([programme.manager@faraday.ac.uk](mailto:programme.manager@faraday.ac.uk)) that a student has started, not later than 10 working days after the student starts. If no student has started within 1 month after the start date, the FITG will lapse.

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

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

## (F) Financial Reporting, Inspection and Sanctions

### FI TGC 8 Annual Statement

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

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

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

### FI TGC 9 Expenditure Statements

The Research Organisation is accountable for funds dispersed and must complete and return an Expenditure Statement at the frequency requested by the Faraday Institution.

In addition, a final expenditure statement detailing expenditure incurred over the full period of the FITG must be received within three months of the end date of the grant. Once an expenditure statement has been received, and expenditure incurred has been reconciled against payments made, it will be considered as final. Any unspent funds will be recovered.

If there are exceptional reasons that will prevent submission of the expenditure statement within the period allowed, a written request may be made to the Faraday Institution for the submission period to be extended. The written request must be made at least 7 days before the due date passes.

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

## TGC 10 Disclosure and Inspection

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

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

The Research Organisation must report to the Faraday Institution:

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

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

The Faraday Institution will undertake periodic reviews of Research Organisations to seek assurance that grants are managed in accordance with the conditions under which they are awarded.

## FI TGC 11 Sanctions

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

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

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

## (G) Public Engagement

### FI TGC 12 Public Engagement

It is the responsibility of the Research Organisation, Supervisors and Students to actively communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest.

The Research Organisation is expected to adopt the principles, standards and good practice for public engagement with research set out in the 2010 Concordat for Engaging the Public with Research  
<https://www.ukri.org/public-engagement/research-council-partners-and-public-engagement-with-research/embedding-public-engagement/>. The Research Organisation must create an environment in which public engagement is valued, recognised and supported. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation.

## (H) Monitoring and Information Requirements

### FI TGC 13 Monitoring and Information Requirements

The Research Organisation will be required to provide the Faraday Institution and the Research Council with standard information on students and their training programmes through the Je-S Student Details (SD) for inclusion in the Faraday Institution's records and the Research Council's management information system and other uses referred to in paragraph 2. Information should be entered within one month of the student starting their studies and updated as soon as any changes occur. Failure to provide this information may result in sanctions being imposed on future payments.

The Research Organisation should inform the Faraday Institution of any significant changes to the student's research project funded from the TG, including change of supervisor or project

objectives, by updating the Je-S SD and notifying the Head of Programme Management at the Faraday Institution that a change has been made.

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

The Research Organisation should inform the Faraday Institution through the Je-S SD (and notify the Head of Programme Management at the Faraday Institution that a change has been made) of students whose awards have been terminated, extended or transferred within a month of the change being formally agreed by the Research Organisation.

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

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

The Research Organisation must make a clear statement, in compliance with data protection laws, what personal information on students is being collected for transfer to the Faraday Institution and the Research Council.

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

The Faraday Institution may also use an online system to collect information during the lifetime of the grant and for some years afterwards on the outputs and outcomes of research, and provide guidance on the timing and scope of reporting that is required. The Research Organisation must ensure that the system is used in accordance with any guidance provided.

The Faraday Institution may require a separate final report on the conduct and outcome of the project. If so, it 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.

## (I) Outcomes

### FI TGC 14 Exploitation and Impact

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

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

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

### FI TGC 15 Publication and Acknowledgement of Support

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

Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the Faraday Institution and the Research Council, as appropriate, 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 Training Grant.

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

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

Example 1:

- 'This work was supported by the Faraday Institution [grant number xxxx].'

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

Example 2:

- 'This work was supported by the Engineering and Physical Sciences Research Council [grant numbers xxxx, yyyy]; and the Faraday Institution [grant number aaaa].'

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

## (J) Disclaimer

### FI TGC 16 Disclaimer

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

The Faraday Institution reserves the right to terminate the FITG at any time, subject to reasonable notice and to any payment that may be necessary to cover outstanding and unavoidable commitments.

Further to TGC5 (Use of Funds), the Faraday Institution reserves the right to amend the payment profile at its discretion. The Research Organisation will be advised, in advance, of any such change. Changes to payment profiles may affect the overall value of the grant.

## (K) Status

### FI TGC 17 Status

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

If any provision of these conditions is found by a court or other legitimate body to be illegal, invalid or unreasonable, it will not affect the remaining conditions, which will continue in force.

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