

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/terms-policies; 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/about-us/policies-standards-and-data/good-research-resource-hub/supporting-skills-and-talent/>

Definitions

Training Grant (TG): A grant to the Faraday Institution to enable the Faraday Institution to fund the training of students where the training leads to the award of a recognised postgraduate qualification.

Faraday Institution Training Grant (FITG): A grant from the Faraday Institution to a Research Organisation (RO) for the provision of postgraduate study.

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 FI TGC.

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 RO for a student to register for a higher degree.

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

Faraday Institution (FI)

Gateway to Research (GTR) 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 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.

Background

The Faraday Institution (FI) receives Training Grants (TGs) from EPSRC which is one of the Research Councils of UKRI for the purpose of funding students to undertake PhDs and certain terms and conditions are linked to documents published by EPSRC and UKRI as set out in these terms.

The FI's purpose is to deliver distributed mission inspired research in energy storage technologies.

The FI distributes its TGs by making a number of Faraday Institution training grants (FITGs) to selected institutions (ROs) in accordance with these core conditions. 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 FI may add additional conditions to the TG to reflect the particular circumstances and requirements of their organisation, or the nature of a particular TG.

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 FI. Any request by the RO to FI to vary these conditions must be submitted in writing to FI and approved in writing by the Chief Executive Officer of FI.

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

The FI reserves the right to amend these conditions.

(A) Regulations

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

The FI 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 Je-S 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 EPSRC;
- To seek contributions to the funding of proposals;
- Statistical analysis in relation to the evaluation of postgraduate training trends;
- Policy and strategy studies;
- Assisting EPSRC to meet its obligations for public accountability and the dissemination of information;
- Making it available on the FI website and/or for EPSRC's website and other publicly available databases, including GTR, and in reports, documents and mailing lists.

The FI may transfer data to EPSRC for further processing for the above purposes.

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

- Student name
- 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 TG funding announced
- Aggregated information regarding demographics, student numbers, stipend levels, qualifications, age at start, migration levels (from first degree university to another) etc.

The RO 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 FI and Research Councils, and how information about their studentship will be used by the FI, Research Councils and the RO.

Students will be contacted by the FI in order to be notified about the FI training programme. Students will also be included in standard mailings but may choose to opt out of receiving those, provided

they comply with all other conditions associated with the FITG.

All personal data collected by FI during the application for or administration of a FITG will be handled in accordance with the GDPR principles.

The RO must provide, on request, a description of their students' areas of study (updated abstracts), which FI 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 FI and /or RO. This may include information provided by the RO to the FI. In some cases, the Research Council may consult FI and/or the RO before disclosure, but it is under no obligation to do so.

If a RO considers that any information it provides to the FI and/or direct to a Research Council would be subject to an exemption under FOIA or the EIRs, then 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 FI before disclosure, FI 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 FI and/or a RO is holding information on its behalf that it requires in order to comply with its obligations under FOIA or EIRs, the RO undertakes to provide access to such information as soon as reasonably practicable on request of the Research Council or FI and in any event within five working days.

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

(B) Responsibilities of the Research Organisation

FI TGC 3 Responsibilities of the Research Organisation

The RO 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, <https://www.qaa.ac.uk/quality-code> and in accordance with any additional FI requirements, including the UKRI's statement of expectations <https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/supporting-skills-and-talent/>

In particular, the RO must:

- Ensure that the student be released to participate in the FI training programme;
- Promote Diversity and equality in all aspects of the recruitment and career management of students as detailed in guidance given to supervisors and the Faraday Institution EDI Charter which is accessible here: www.faraday.ac.uk/terms-policies
- Make available adequate facilities and resources for the research training;
- Provide 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 GDPR;
- Ensure projects lie within the remit of the FI;

The RO 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 FI immediately of the circumstances.

The RO is expected to take reasonable steps to recover monies paid to students in advance who leave or whose studentship is terminated.

The RO 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 RO or a collaborating organisation or other third party.

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

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

The RO 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 RO shall provide FI and/or EPSRC and/or UKRI on request with details of expenditure of the FITG by any third party. The following Due Diligence guidance and questionnaire should be followed, regardless of whether any Third Parties used to deliver all, or part, of the research activity are based in the United Kingdom or overseas:

<https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/equitable-partnerships/>

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

The RO 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.

The RO must ensure that when individuals accept a studentship, they are aware that they are authorising that

- The RO will disclose to FI and to the EPSRC and UKRI 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.
- The RO will disclose student contact details to FI and EPSRC/UKRI. 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 FI and/or EPSRC/UKRI fund.
- The RO will provide data on equality and diversity to allow FI and/or EPSRC and/or UKRI 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.
- The RO will provide any such information requested behalf of EPSRC or UKRI to the Higher Education Statistics Agency (HESA) or any other organisation or agency empowered to act on behalf of UKRI/EPSRC or FI, including UK Shared Business Services (SBS) Ltd.
- The FI, EPSRC or a third party on behalf of EPSRC or UKRI, to contact a studentship holder beyond the life of their studentship for evaluation purposes.
- The RO must undertake appropriate due diligence before any Student is recruited, any Student research activity starts and on collaborative partner(s) in advance of any collaboration between parties beginning, including where changes occur after the Studentship start date to organisations involved in the Studentship or, where any material change occurs in the nature of the collaboration or external factors which might alter the level of risk to the research activity and its potential usages. Where due diligence checks identify a potential risk, the RO must ensure that appropriate mitigations are in place to manage that risk before any Student research activity and/or collaboration affected by the risk begins/is continued. Due Diligence must be undertaken in line with UKRI's Principles on Trusted Research and Innovation: <https://www.ukri.org/wp-content/uploads/2021/08/UKRI-170821-TrustedResearchandInnovationPrinciples.pdf>
- Unless EU State Aid regulations apply, the RO must ensure at all times that the Training Grant funding awarded to it is compliant with any legislation applicable in the United Kingdom on or after 1 January 2021 that regulates the granting by a public sector body of any advantage which threatens to or actually distorts competition in the United Kingdom and/or any other country or countries ("UK Subsidy Control Framework").
- The RO must inform FI of any other public funding applied for or awarded against the eligible costs covered by this FITG.
- The FI will immediately suspend the FITG and may require the RO to repay FITG funding if they are found to have received aid that is deemed to be in breach of the UK Subsidy Control Framework.

- No subcontract or other agreement with a Third Party can be made which would constitute a breach of the UK Subsidy Control Framework.
- The EU State Aid regulations will apply to the FITG funding where the RO has returned the Grant Offer Acceptance document before 1 January 2021 or where the FITG funding will affect trade between Northern Ireland and the EU as envisaged by Article 10 of the Protocol on Ireland/Northern Ireland in the EU Withdrawal Agreement. In such cases, the bullet items immediately below will apply instead of the bullet items directly above.
- Where the RO has been informed that their use of the FITG counts as either De Minimis or has been awarded the UKRI Research, Development and Innovation Scheme operating under Commission Regulation (EU) No 651/2014 (the General Block Exemption Regulation (GBER)) and subsequent amendment, the RO must ensure at all times that they are compliant with the State Aid regulations under which the FITG has been awarded.
- The RO must inform FI of any other public funding applied for or awarded against the eligible costs covered by this Training Grant. It is the RO's responsibility to ensure that the cumulative total of public funding and aid intensity You are receiving for the Training Grant does not exceed those limits stated under De Minimis or GBER. The RO must ensure that it complies with State Aid rules, which are those rules contained in Articles 107 to 109 of Section 2, Title VII, of the Common Rules on Competition, Taxation and Approximation of Laws, Consolidated versions of the Treaty on European Union and the Treaty on the Functioning of the European Union (2008/C 115/01).
- FI will immediately suspend the FITG if the RO becomes subject to a recovery order that follows on from a previous European Commission decision, which declares any aid the RO has received as illegal and incompatible with the internal market.
- Where the RO is required by an order of the European Commission to repay any Grant to FI that is found to be unlawful State Aid, interest will be charged on the amount being reclaimed from the date of payment at the applicable legislated rate.
- No subcontract or other agreement with a Third Party can be made which would constitute a breach of the RO's obligations under the EU State Aid regulations.
- The RO acknowledges that FI may be required to provide the European Commission with information about the financial assistance given to the RO by FI and the RO agrees to provide such assistance as FI shall reasonably request.

FI TGC 3.1 Student Complaints/ Difficulties

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

The RO 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 RO 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:

<https://www.qaa.ac.uk/quality-code/advice-and-guidance/concerns-complaints-and-appeals#>

(C) Research Governance

FI TGC 4 Research Governance

It is the responsibility of the RO 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 FI and UKRI 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-standards-and-data/good-research-resource-hub/research-integrity/>

FI TGC 4.1 Research Ethics

The RO 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.

FI TGC 4.2 Not used

FI TGC 4.3 Not used

FI TGC 4.4 Health and Safety

The RO 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 students are working off-site. The RO must satisfy itself that all reasonable health and safety factors are addressed.

The FI and/ or UKRI shall have the right to require the RO 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 RO is required to have in place procedures for governing good research practice, and ensure that the requirements set out in the 2019 Concordat to Support Research Integrity, including any subsequent amendments, are met

<https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-research-integrity>

and the UKRI's Policy and Guidelines on Governance of Good Research Conduct

<https://www.ukri.org/our-work/supporting-healthy-research-and-innovation-culture/research-integrity/>

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

FI TGC 4.6 Modern Slavery Act 2015

The RO acknowledges that as an organisation 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 FI to suspend pending remediation, or terminate grant payments.

When requested by FI and/or the Research Council the RO must provide a copy of its annual modern slavery and human trafficking statement.

FI TGC 4.7 Equality, Diversity and Inclusion

Diversity and equality must be promoted in all aspects of the recruitment and career management of Faraday Institution students as detailed in both the [guidance](#) provided to supervisors and the Faraday Institution EDI Charter which is accessible here: www.faraday.ac.uk/terms-policies

The RO is expected to ensure that equality, diversity and inclusion are considered and supported at all stages throughout the performance of the Training Grant, in alignment with UKRI's policies and principles at: <https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/equality-diversity-and-inclusion/>. The RO's approach to supporting equality, diversity and inclusion is expected to exceed all relevant legal obligations, including but not limited to those of the Equality Act 2010.

FI TGC 4.8 Safeguarding

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

The Faraday Institution Code of Conduct (www.faraday.ac.uk/terms-policies) describes standards of behaviour that we expect all FI students and their supervisors to adhere to while undertaking FI research, be it in a lab setting, connecting with group or project members and when interacting with other projects, with members of FIHQ, and externally, in person or in an on-line environment.

FI TGC 4.9 Bullying and Harassment

The RO must have clear, well-publicised policies, processes and training in place consistent

with good practice. The FI expects the RO to take an organisation-wide approach to prevention, and where relevant to take into account guidance and advice as set out by:

- 1752 Group, on addressing staff sexual misconduct
- the Office for Students, on handling harassment and sexual misconduct in higher education
- the Office of the Independent Adjudicator for Students in Higher Education, on handling student complaints and academic appeals.

UKRI's Preventing Harm (Safeguarding) in Research and Innovation policy, sets out how FI expects to be informed about incidences of bullying and harassment relating to activity funded from this grant and the actions we may take where we identify that the RO does not have robust processes in place. <https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/preventing-harm-in-research/>

FI TGC 4.10 Whistleblowing

The RO must have clear, well-publicised policies and processes in place that are consistent with good practice, in order to foster a supportive whistleblowing environment. The RO must also ensure their whistleblowing policy is open to doctoral students.

(D) Use of Funds

FI TGC 5 Use of Funds

The RO 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 FI 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 FI 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 FI 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 FI. 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 FITG 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 RO 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 FI.

The FI 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.

The use of funding to provide full awards or fees-only awards should be in accordance with student eligibility as defined by the awarding council. ROs must comply with the EPSRC Flexibility for funders guidance when assessing candidates to receive an award from the FI <https://www.ukri.org/councils/epsrc/career-and-skills-development/studentships/flexibility-for-funders/>

Students in full-time employment are not eligible for a stipend of any kind from FI. 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 6 Student Eligibility

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

The EPSRC and FI 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 RO Registrar's Office, the postgraduate admissions office (or equivalent).

FI TGC 6.1 Residence requirements

Both home and International students must be resident in the UK for the majority of their studies and any time spent overseas should be for the purposes of fieldwork/long-term attachment.

The RO is responsible for eligibility checks on students. By submitting student details to the Je-S Student Details, the RO is confirming that the student is eligible to receive the level of funding allocated to them, in accordance with UKRI eligibility requirements.

To be classed as a home student, candidates must meet the following criteria:

- Be a UK National (meeting residency requirements), or
- Have settled status, or
- Have pre-settled status (meeting residency requirements), or
- Have indefinite leave to remain or enter

If a candidate does not meet the criteria above, they would be classed as an International student.

International students whose right to remain in the UK is by virtue of a Tier 4 Visa or Student Visa, the obligation to permit 12 months leave for maternity/paternity leave and for sickness leave and payment is subject to any restrictions on remaining in the UK, and payment of funding imposed by virtue of the legislation and guidance relating to the granting of the Tier 4 Visa or Student Visa.

Full details of the changes to EU and International Eligibility for UKRI funded studentships from Academic Year 2021/22 onwards can be found here <https://www.ukri.org/wp-content/uploads/2021/03/UKRI-170321-InternationalEligibilityImplementationGuidance.pdf>

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 FI when deciding how to allocate funds.

Students will be full-time unless otherwise agreed with the FI. The RO 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. The RO must agree with students, at the outset, the expected start and end dates for the funded period of study.

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.

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 FITGs, 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.

ROs may incorporate costs associated with the administration of training, advertising costs and open days, into the fee level that they charge to the Training Grant, these costs may not be taken from the Training Grant other than through the fee level, unless explicitly stated otherwise within any Specific Terms and Conditions of the Training Grant. In addition, these fees must be equal to the level of fee used for UK non-UKRI funded Students on similar programmes. Where this fee is higher than the annual rate set by UKRI, ROs may draw this from the Training Grant subject to any Specific Conditions. Home Students must not be charged additional fees, above the level paid by UKRI. For International students, ROs are able to claim the difference between home and International fees from other sources, but these costs may not be taken from the Training Grant or other UKRI funding.

The RO or other funder must not apply any conditions to a student's award, which conflict with these conditions or any guidance issued by FI or EPSRC and/or UKRI.

The FI provides a comprehensive annual programme of required training that aims to increase the knowledge, skills and aspirations of students <https://www.faraday.ac.uk/wp-content/uploads/2021/11/Faraday-Institution-PhD-Training-Guide-2021-22-1.pdf>. The Faraday Institution requires the primary supervisor to commit that the student will attend all training required and to join a 'Career coaching call' with their student and the Faraday Institution Education and Training Lead as part of the Year 3 programme. In addition, the primary supervisor will be required to make themselves available for any additional calls that are needed in relation to the wellbeing and career progress of their Faraday Institution PhD student.

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

The RO may approve a change in the mode of study from part-time to full-time.

Possible reasons for a change of mode of study may include changes in a student's personal or employment circumstances. The RO 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 FI, agree to:

- 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 FI 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 RO 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 RO should make arrangements to suspend the studentship.

The RO 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 RO 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 RO 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 RO'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 FI finding the necessary funding from its TG. Where there are insufficient funds in the FI's TG to meet a period of genuine absence, FI 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 RO can demonstrate that it lacks the flexibility to meet the costs and that it has no other contingency funding or concurrent TGs on which it could draw.

The period of a student's support must be extended in line with these FITG Terms and Conditions, to offset a period of absence for maternity leave, ordinary paternity leave, adoption leave, unpaid parental leave, absences covered by a medical certificate and extended jury service. The total period of an agreed extension must not normally exceed 12 months during the lifetime of an award.

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 original award end date.

FI TGC 6.7 Annual Leave

The RO 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. As part of the grant conditions, FI students are expected to attend compulsory training courses provided in the FI Training Programme and annual leave should be planned around these.

FI TGC 6.8 Student Transfers

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

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 RO concerned, and must be in accordance with any additional FI

and/EP SRC/UKRI requirements. The FI expects that the arrangements for such a transfer would include the relevant funds and that the RO, 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 RO is surveyed).

The RO must not agree a transfer to an institution, which is not eligible for FI or EPSRC funding or to a course or programme of study which falls wholly outside FI or EPSRC'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 RO, in discussion with the FI, 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 EPSRC Training Grant are eligible for additional support from EPSRC 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://www.ukri.org/wp-content/uploads/2021/04/UKRI-150421-DSA-Framework-March-2021.pdf>

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 UKRI, save that the RO should submit any claim form to the FI, rather than direct to the UKRI, annually in advance of the UKRI deadline. The FI 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 RO 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

FI 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 RO must formally accept the FITG by completing and returning the acceptance of grant in the offer letter to FI 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 FI 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 FI Contracts team must be notified by email contracts@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.

The RO must ensure that the student is entered onto the Je-S and that the student is associated with Grant Reference as notified by FI. For grants awarded between July 2018 and March 2023, the reference number is EP/S514901/1.

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 RO to ensure that any student in receipt of FI funding accepts all FI conditions applicable to their award and that the student has been made aware of the relevant Research Council and FI guidance.

(F) Financial Reporting, Inspection and Sanctions

FI TGC 8 Annual Statement

The RO may be sent a statement to return each year showing payments made by FI and/or Research Council during the previous financial year for all the grants it holds. Where a statement is required, the RO 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 FI and/or Research Council.

FI TGC 9 Expenditure Statements

The RO is accountable for funds dispersed and must complete and return an Expenditure Statement at the frequency requested by the FI.

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 FI for the submission period to be extended. The written request must be made at least 7 days before the due date passes.

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

FI TGC 10 Disclosure and Inspection

The FI 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. FI 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 RO must report to the FI:

- 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 RO must, if required by the FI, 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 FI will undertake periodic reviews of the RO to seek assurance that grants are managed in accordance with the conditions under which they are awarded.

FI TGC 11 Sanctions

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

(G) Public Engagement

FI TGC 12 Public Engagement

It is the responsibility of the RO, 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 RO 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/about-us/policies-standards-and-data/good-research-resource-hub/public-engagement/>

The RO 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 RO.

(H) Monitoring and Information Requirements

FI TGC 13 Monitoring and Information Requirements

The RO will be required to provide FI and the Research Council with standard information on students and their training programmes through the Je-S Student Details (SD) <https://je-s.rcuk.ac.uk/Handbook/pages/StudentResearcherDetails/StudentResearcherDetails.htm> for inclusion in the FI'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 RO should inform FI of any significant changes to the student's research project funded from the FITG, including change of supervisor or project objectives, by updating the Je-S SD and notifying contracts@faraday.ac.uk at FI that a change has been made.

The FI 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 RO should inform FI through the Je-S SD (and notify the Contracts team at FI 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 RO.

The RO is 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 RO must make a clear statement, in compliance with data protection laws, what personal information on students is being collected for transfer to FI 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 RO must ensure that information is returned in accordance with the guidance provided.

The FI 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 RO must ensure that the system is used in accordance with any guidance provided. The FI may require a separate final report on the conduct and outcome of the project. If so, it must be submitted by the RO 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.

The RO must inform FI of any changes to the Studentship that may potentially breach any applicable UK Subsidy Control Framework or State Aid regulation. In addition, the RO must inform FI of any significant changes to the Student's research project funded from the Training Grant within one month of the change being formally agreed by the RO, including change of Supervisor or project objectives, by updating the Je-S Student Details.

(I) Outcomes

FI TGC 14 Exploitation and Impact

It is the responsibility of the RO, 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 RO. The RO 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 FI Training Grant should, subject to the procedures laid down by the RO, publish the results of their research in accordance with normal academic practice and the UKRI policy on open access <https://www.ukri.org/manage-your-award/publishing-your-research-findings/making-your-research-publications-open-access/>.

Students will be expected to set up and maintain Google Scholar and ORCID accounts to record publications and enable the FI to track activity.

Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from FI 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 FITG.

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 FI 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 FI 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 FI TGC 5 (Use of Funds), FI reserves the right to amend the payment profile at its discretion. The RO 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 FI and the RO in relation to the stated grant. The FI and the RO do not intend that any of these conditions should be enforceable by any third party.