

Carnegie Research Incentive Grants

Terms and Conditions of Award

1. Introduction

- 1.1. This document sets out the terms and conditions for the Carnegie Research Incentive Grants (RIGs).
- 1.2. The Terms & Conditions of Award should be read in conjunction with the Award letter and the Carnegie Trust's Code of Practice. The Code of Practice is available on the Carnegie Trust's website and may be updated periodically.
- 1.3. The Award holder's University/HEI must ensure that the Award Holder, other supported by the Award and collaborators are made aware of their responsibilities and comply with these Conditions of Award and the Award Letter. Failure to comply with these terms and conditions will lead to termination of the Award and the Carnegie Trust reserves the right to recover the grant monies in part or full.

2. Tenure

- 2.1. Carnegie Research Incentive Grants (Awards) must be held at the eligible Scottish university/Higher Education Institution (HEI) where the Award Holder is employed. The eligible institutions are: the universities of Aberdeen, Abertay, Dundee, Edinburgh, Edinburgh Napier, Glasgow, Glasgow Caledonian, Heriot-Watt, Highlands and Islands, Queen Margaret, Robert Gordon, St Andrews, Stirling, Strathclyde, West of Scotland, the Glasgow School of Art, and the Royal Conservatoire of Scotland.
- 2.2. Should the Award Holder move to a different Scottish university/HEI, the Trust will allow the transfer of any remaining balance to the new institution, on receipt of a request in writing. This request must include confirmation from the new university/HEI that it would accept this transfer and the associated research commitments.
- 2.3. Should the Grant Holder move to an institution outside Scotland, the Trust must be notified immediately in writing. In such cases, the Trust may cancel any remaining balance on the Award.
- 2.4. An Award made to one individual for a specific purpose cannot be transferred to another individual or be used for a different purpose.

3. Grant acceptance and duration

- 3.1. Once notified of the outcome of their application, the Award Holder must accept the Award and confirm the start and end dates of their project using the link in the award email. The Award Holder's institution must also confirm acceptance of the Award and associated Terms & Conditions.
- 3.2. The Award period may commence at any time following the notification of award up to a maximum of 12 months from the date of issue of the Award Letter. An Award may be withdrawn, should a project fail to commence within 12 months of the notification of award.
- 3.3. The maximum length of a Research Incentive Grant is 12 months. All funded activities must take place, and associated costs incurred, within the lifetime of the Award.
- 3.4. The start date will typically be the date of the first research activities supported by the Trust (e.g. appointment date of a PDRA, travel date etc.). The purchase of travel tickets in advance of a research trip supported by the Award will not generally be considered as the start date of the Award but the latter must occur only after the Award Holder has accepted the Award. Any costs incurred before accepting the Award cannot be covered by the grant.

4. Payment

- 4.1. Awards are paid to the Award Holder's university/HEI following the receipt by the Trust of a satisfactory End Report and Statement of Expenditure. Both the End Report and Statement of Expenditure are due within two months of the project end date (see Reporting for further details).
- 4.2. The Trust reserves the right to withhold payment of an Award in the absence of a satisfactory End Report or Statement of Expenditure.
- 4.3. Grants will be paid to the Award Holder's university/HEI by electronic transfer (BACS) upon receipt of an invoice. The timing of payment is at the Trust's discretion, but every effort will be made to ensure funds are transferred in good time.
- 4.4. The Award value cannot be increased during the lifetime of the grant or to accommodate overspend during the project.

5. Variations and termination

- 5.1. The Award Holder's university/HEI and the Award Holder must ensure that the Award is only used for the research activities described in the original application and Award Letter. Any subsequent changes, including those to dissemination activities, require approval in writing from the Trust.
- 5.2. No-cost extensions may be requested in writing before the end date of an Award, explaining the reason for the request.
- 5.3. The Award may only be used for the cost items specified in the Award Letter, with any subsequent changes approved in writing by the Trust. It is the responsibility of the Grant Holding university/HEI to inform the Trust of any factors that may adversely affect the funded Research Activities or compliance with these Terms and Conditions of Award (including suspicion of, or actual fraud, misconduct, corruption or financial impropriety, or any change to the Award Holder's status).
- 5.4. The transfer of funds between the different budget headings listed in the Award Letter is permissible without the Trust's prior agreement where small sums are involved.
- 5.5. Any significant transfer of funds between the budget headings listed in the Award Letter should be discussed with the Trust in advance. For example, approval from the Trust should be sought when:
 - a. A research assistant or anyone employed on the grant is employed for a shorter period of time or at a lower rate than originally planned and the Award holder wishes to use the resulting salary budget underspend for other purposes;
 - b. Some activities are significantly cut back with less spend than anticipated;
 - c. Major changes in consumables, animal usage or equipment purchases are proposed (e.g. a piece of equipment is freely available, access charges to facilities are waived, etc.);
 - d. Alternative sources of funding are obtained to cover costs originally sought from the Carnegie Trust;
 - e. Funding for dissemination/public engagement activities being spent on other activities;
 - f. Using underspend from a budget heading to fund dissemination activities that were not part of the original application and Award.
- 5.6. The Trust may not accept costs for Research Activities that were not approved or are significantly different to those originally awarded.
- 5.7. Any items purchased with funds provided by a RIG will become, and will remain, the property of the university/HEI through which the Award has been made/administered, unless that university/HEI agrees that they should become the property of another university/HEI to which the Award Holder has relocated.
- 5.8. The Carnegie Trust reserves the right to terminate or suspend the Award at any time, subject to

reasonable notice (normally 2 months). In the event that the Carnegie Trust's income is significantly reduced or if the Carnegie Trust is dissolved, the Carnegie Trust reserves the right to terminate any awards with no liability for any further Award payments. The Award holding university will fully indemnify the Carnegie Trust in respect of any claims brought against the Carnegie Trust in this regard.

6. Research ethics, policies and legal requirements

- 6.1. The Trust will not become the employer of the Award Holder, or any third party involved in the funded activities, as a result of making this Award. In cases where the grant is supporting the cost of research support staff, the university/HEI must issue a contract of employment compliant with relevant laws and regulations.
- 6.2. The Award Holder and university/HEI must ensure the Award is managed in a manner compliant with the (UK) Equality Act 2010.
- 6.3. Research Activities funded by the Trust must be conducted in an ethical and legal manner. The university/HEI is responsible for ensuring that ethical issues relating to the research project are identified and that any regulatory or approval requirements are met prior to starting the research activities.
- 6.4. The university/HEI should meet the requirements of the Concordat to Support Research Integrity (2012) and subsequent amendments and must have in place formal procedures for governing good research practice and for handling and reporting allegations of fraud or research misconduct.
- 6.5. The University/HEI is responsible for ensuring that a safe working environment is provided for all individuals associated with a research project and must meet all regulatory and legislative requirements as recommended by the Health and Safety Executive and will include appropriate care where researchers are working off-site.
- 6.6. It is the responsibility of the university/HEI managing the Award to ensure that appropriate insurance is in place for any individual employed using the Award to undertake overseas travel or fieldwork as part of the funded project.
- 6.7. The Award Holder is expected to comply with the University/HEI guidelines on overseas travel and safety in fieldwork, particularly for high-risk countries. The Carnegie Trust will not be held liable for the health, safety and security of award holders or individuals employed on an award.
- 6.8. In the case of research involving the use of animals, the Award Holder and their employing university/HEI must ensure that the research falls within the regulations in the UK Animals (Scientific Procedures) Act 1986 and subsequent amendments.

7. Publications, dissemination and impact

- 7.1. The support of the Trust must be acknowledged in any publications or presentations arising from the Award and the Trust should be given the opportunity to be associated with any publicity relating to the funding.
- 7.2. It is the Award Holder's and their University's responsibility to inform the Trust of any publications, dissemination activities or further funding that occur beyond the lifetime of the Award. The Award Holder is required to provide full bibliographical details of any published outputs arising from a Carnegie Award.
- 7.3. For projects whose primary purpose, or significant product, is the creation of a digital resource, data created as a result of the research, together with documentation, should be offered for deposit in an appropriately accessible repository within a reasonable time after the completion of the project.
- 7.4. In cases where the principal output from the project is the creation of a digital resource, applicants should be aware that details of the project, and contact details of the applicant, may be passed to the relevant national Data Services providers for evaluation or contact purposes.

- 7.5. The Award Holder is required to notify the Carnegie Trust of any impact resulting from their research. Impact can mean making a significant contribution to an academic field and/or to policy and practice decision-making. This could be an impact in economic terms, affecting the profits of firms or the revenue of government, or in terms of having an impact on less quantifiable areas such as the environment, public health or quality of life.
- 7.6. The Award Holder must make all reasonable efforts, if so invited, to respond to requests for information or to attend events or activities organised by the Carnegie Trust concerning the research undertaken. Such events may be held after a grant has ended.
- 7.7. The Host Organisation must ensure that it obtains the prior approval of the Carnegie Trust on any press statements associated with the Award.
- 7.8. Due acknowledgement of support received from the Carnegie Trust should be made in any form of media communication, including media appearances, press releases and conferences. The contents of any press releases or announcements associated with the Award should be agreed by the Carnegie Trust first to ensure they comply with any current publicity requirements, including any branding guidelines.

8. Reporting and accounts

- 8.1. Within two months of concluding the Research Activities, the Award Holder must complete and submit to the Trust an electronic copy of the End Report (template available to download from the 'End of grant reporting' tab at <https://www.carnegie-trust.org/award-schemes/research-incentive-grants/>), providing details of the activities undertaken with the funds awarded and a summary of the results obtained.
- 8.2. Within two months of concluding the Research Activities, the Award Holder's university/HEI must complete and return to the Trust an electronic copy of the Statement of Expenditure, providing a detailed breakdown of the costs incurred (template available to download from the 'End of grant reporting' tab at <https://www.carnegie-trust.org/award-schemes/research-incentive-grants/>).
- 8.3. The Award Holder's university must ensure proper financial management of the Award and accountability for the use of public and charitable funds and ensure that formal audit standards and procedures exist for maintaining appropriate anti-fraud and corruption controls in accordance with the Fraud Act (2006). Any fraud associated with the award must be notified to the Carnegie Trust immediately.
- 8.4. No new applications will be entertained from an Award Holder who has yet to submit a report on a previous Award.

9. General

- 9.1. The Carnegie Trust reserves the right to amend these Conditions of Award, its Code of Practice, and any terms and conditions in the Award Letter. Any changes to the Conditions of Award or Award Letter will be notified to the Award Holder in writing, and any changes to the Code of Practice will be notified on the Carnegie Trust's website.

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Definitions

Award Holder	The person to whom the grant has been awarded and who has responsibility for the intellectual leadership and overall management of the research. The Award Holder is the lead applicant who wrote and submitted the original application to the Carnegie Trust.
University/HEI	the University or Higher Education Institution where the Award Holder is employed and at which some or all of the research funded by the award will be carried out, and which takes responsibility for the management of the research project and the accountability of funds provided. This is the organisation which approved the submission of the application and accepts the Award in the Carnegie Trust's grant management system.
Award/Grant	The award of a grant under the Research Incentive Grant Scheme as specified in the Award Letter.
Award letter	The letter from the Carnegie Trust to the Award holder specifying the value and tenure of the grant that has been awarded
Grant period	The period of the Award as set out in the Acceptance of Award, commencing on the start date confirmed by the Award Holder and University/HEI in the manner indicated by the Carnegie Trust.
Data	Includes computational or curated data, and data that are produced by an experimental or observational procedure
Statement of Expenditure	A form that must be completed by the University/HEI and submitted to the Carnegie Trust that sets out (i) the actual expenditure incurred by the University/HEI during the Award period on the Award, (ii) the total amount awarded by the Carnegie Trust in respect of the Award, and (iii) any additional information that the Carnegie Trust requests from the University/HEI.
End report	A form on which the Award Holder reports on the activities undertaken during the award period that must be completed by the Award Holder and submitted to the Carnegie Trust.
Intellectual Property	Includes all inventions, discoveries, materials, technologies, products, data, algorithms, software, patents, databases, copyright and general knowledge
Research misconduct	Includes the fabrication, falsification, misrepresentation, or plagiarism in proposing, performing, or reviewing research or in reporting results, misrepresentation, mismanagement or inadequate preservation of data and/or primary materials, making up data or results and recording and reporting them, such that the research is not accurately represented in the public research record
The Carnegie Trust	The Carnegie Trust for the Universities of Scotland, a charity registered in Scotland SC015600