TSUNAMI - *Linking Insurance and Science*

RESEARCH GRANTS GUIDANCE BOOKLET

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SECTION 1: INTRODUCTION

1.1 TSUNAMI's mission is to improve the competitiveness of the UK insurance industry by using the UK science effort to improve the assessment of risk. In achieving this aim, TSUNAMI will issue a number of Announcements of Opportunity for UK scientists to apply for funding to carry out applied reseach into particular risks that concern the UK insurance industry.

TSUNAMI has modelled its research grant application, appraisal and award system on that used by the Natural Environment Research Council (NERC). However, funding for TSUNAMI is independent of NERC. All applications, correspondence or appeals relating to the TSUNAMI Announcement of Opportunity must be directed to TSUNAMI at the contact address given below. No correspondence on these issues should be undertaken with NERC.

1.2 CONTACT POINTS

1.2.1 All TSUNAMI Research Grants are administered by the TSUNAMI Project Director:

James Orr
British Antarctic Survey
High Cross
Madingley Road
Cambridge CB3 0ET

E-mail:J.B.Orr@bas.ac.uk

1.2.2 TSUNAMI is managed by a Management Board, which has one representative from each of the Consortium Companies and is chaired by:

Dr Dougal Goodman
Deputy Director (Innovation)
British Antarctic Survey
High Cross
Madlingley Road
Cambridge CB3 0ET

E-mail:D.Goodman@bas.ac.uk.

1.2.3 In assessing research grant proposals, TSUNAMI will rely upon a Review Committee drawn from the companies that form the Sponsoring Consortium. The Review Committee will also be supported, where appropriate, by seeking independent advice from scientists in the relevant fields of study.

1.2.4 Enquiries regarding policy issues surrounding research grants should be addressed to the TSUNAMI Project Director at the address shown in 1.2.1 above.

1.3 HOW DO I APPLY?

1.3.1 All applicants must complete the current version of the TSUNAMI Research Grant Application Form (available from the WWW at www.nerc-bas.ac.uk/public/tsunami/). TSUNAMI will return proposals which are not complete or do not strictly adhere to the terms and conditions set out in this booklet. Any queries about presentation, terms and conditions or eligibility that are not covered by the information and guidance presented here are best raised with the TSUNAMI Project Director prior to completion of the Research Grant Application Form.

1.4 **TSUNAMI reserves the right to change any of the conditions in this booklet as it may think fit without prior notification.**

SECTION 2 : THE RESEARCH GRANT SCHEME

2.1 GENERAL AIMS

2.1.1 It is the aim of TSUNAMI to provide financial help for research workers in institutions recognised by the the Research Councils (hereafter referred to as institutions). The research carried out under TSUNAMI research grants should be timely and of high scientific merit, and should pay specific regard to the issues that face the UK insurance industry. These aspects in particular are examined by the review and assessment process carried out by the Review Committee and the Scientific Advisory Committee.

2.1.2 In making research grants to institutions, TSUNAMI provides the funds required to support the research, apart from academic salaries and basic infrastructure costs, which will be provided by the institution. Research grants are intended to cover the direct costs of projects, with a contribution to the indirect costs of the institution provided through a standard percentage addition to the staff element of direct costs. Institutions may themselves contribute to the cost of the research programme.

2.1.3 TSUNAMI aims to give investigators whose work it supports freedom to develop the work in their own way, consistent with meeting the aims set out in the original Announcement of Opportunity and the need to retain adequate control over expenditure. The conditions under which grants are made allow investigators flexibility in planning and executing the work, but major changes from the original intention of the project require the approval of TSUNAMI (see section on final reports).

2.1.4 TSUNAMI supports the Research Councils' aims in increasing public awareness and public understanding of the science it funds through the research grants. The obligations and expectations for all applicants are set out in paras 3.6.3, 5.6 and 5.8.

2.2 SPECIFIC AIMS

2.2.1 TSUNAMI will award a research grant for a stated period to support a specific investigation in which the applicant will be personally engaged.

2.2.2 Research grants may meet the costs of:

a) employing additional scientific, laboratory technical, or other assistants especially required for the purpose of the research including, and in exceptional cases, clerical or secretarial staff;

b) inviting senior scientists of distinction to the investigator's institution as Senior Visiting Fellows, to give full time advice and assistance to the investigator in research in the field in which the visitors are eminent. These Senior Visiting Fellows may be attached to research schools either within the United Kingdom or abroad. The period of the visit should not exceed one year;

c) enabling an investigator to visit a recognised centre abroad to study new techniques and research developments where such a visit would be of direct benefit to a research project. Such an award would only be considered if it were not possible for other organisations such as the Royal Society to support the visit;

d) purchasing special pieces of scientific equipment which it would not be customary for the institution itself to provide as part of the normal equipment of a research laboratory, and for which funds are unlikely to be available from some other source in the immediate future. In such instances investigators must ensure that there is a large research component associated with the application.

2.3 TIMING OF APPLICATIONS

2.3.1 Applications for research grants may be made at any time **but no later than the closing dates shown on the Announcement of Opportunity**. **Grant applications which do not arrive at TSUNAMI in**

Cambridge by a given closing date will be returned to the applicant. Similarly, those applications which do not give all the information required, or contain points that need clarification, will usually be returned to the applicant for correction and will not be considered until the next closing date.

2.3.2 The results of applications are given within five months of the closing date for Research Grants

2.3.3 When an application is approved, the research grant will be announced in a formal offer to the institution. Details of the award will be provided for the institution and the principal investigator.

SECTION 3: COMPLETING THE RESEARCH GRANT APPLICATION FORM

3.1 GENERAL POINTS

This section gives an overview of general terms and conditions, eligibility and other important points. Applications must be submitted on the latest version of the Research Grant Application Form. Applicants should consult Section 4 of this booklet for more detailed information.

3.1.1 Applicants are invited to consult the TSUNAMI Project Director, for general advice on any points of doubt or difficulty e.g. remit. It is particularly important to consult the Project Director well in advance of applying for research grants involving major contractual expenditure and before the applicant has become committed to any contractual or financial obligations.

3.1.2 When a project is to be jointly undertaken with more than one investigator, (see conditions on numbers of applications permitted per round in para 3.2.5) the application should be submitted in the name of all those concerned. TSUNAMI will allow a Research Grant to be split between up to a maximum of 6 Departments/Institutions for financial purposes. Where the Principal Investigators wish this to be done a separate financial summary for each Department/Institution must be provided, as well as a composite summary of costs. It will also be necessary to provide Departmental/Institutional authorisations as appropriate. The first named PI will be responsible for provision of the non-technical summary and final report etc. The minimum sum which can be awarded to an individual Department/ Institution is £5,000.

3.1.3 All investigators, the head of the department (or equivalent) and the administrative authority should sign the declaration to confirm that the details are correct, that they are willing to accept TSUNAMI's terms and conditions for research grants, including submission of a final report and final expenditure statement, and that genuine collaboration, where proposed, has been agreed. In signing the declaration the head of department (or equivalent), and the administrative authority confirm the eligibility and status of the applicant (see section 3.2.1) and that the period of the grant, if awarded, will not exceed the tenure of their academic/research appointment. **TSUNAMI will not consider the research grant application if the declaration has not been fully signed.**

3.2 ELIGIBILITY AND TENURE OF GRANTS

3.2.1 Principal Investigators on TSUNAMI research grant applications should be research workers ordinarily resident in the United Kingdom, who are also:

- members of the academic staff at universities, colleges and other higher education establishments recognised by the Research Councils within the UK.
- permanent members of staff of an academic analogue as defined in Appendix C.
- Holders of fixed-term Research Council Fellowships, Royal Society Fellowships, or Fellowships won through open competition. Applicants holding University Fellowships must seek prior approval from TSUNAMI regarding their status before submitting any application.

Co-applicants

In recognition of the fact that the ideas which generate research grant applications often stem from contract research staff, TSUNAMI will follow NERC Council's policy (effective 1/1/98) whereby the names of contract researchers may appear on the front page, but not as sole or first named investigator.

Where the name of a contract researcher appears on the front page of an application, TSUNAMI expects that this person will be named PDRA/PGRA to be employed if the application is successful. When the contract researcher is **not named** as the PDRA/PGRA, TSUNAMI expectations are that the host HEI or analogue will meet the full salary costs of the contract researcher.

3.2.2 NERC research grants support research in which the applicant (termed the 'principal investigator') is engaged personally; awards are made to the institution at which the work is to be undertaken. Hence, should a principal investigator resign, retire, be made redundant, or transfer to another institution, TSUNAMI must be notified.

3.2.3 If during the life of a grant the principal investigator takes up an appointment at another institution, TSUNAMI will be prepared to discuss with the heads of department and the institution authorities concerned the question of the transfer of the balance of the research grant and any equipment associated with it. Details of such a transfer should be forwarded to TSUNAMI, which may provide written agreement.

3.2.4 If the principal investigator should retire, or resign and not take up another post at an institution eligible to receive research grants, support for the research project will be terminated. Proposals for the continuation or completion of the research will be considered on their own merits.

3.2.5 Applications will be accepted from individuals, or from groups representing collaboration within an institution, or between two or more institutions.

3.3 RESEARCH COSTS

3.3.1 TSUNAMI welcomes research applications having costs appropriate to the research task being proposed, and indeed will be wary of the rigour and tractability of proposals which appear under-costed. TSUNAMI will always meet the full necessary costs of all proposals (within the dual support provisions in university departments) and will not disallow items except where these are assessed as unnecessary or ancillary to the research. Where costs are disallowed the reasons will be explained to the principal investigator.

3.3.2 Research grant awards will be cash limited and there will be no supplementation following issue of acceptance of the award. However within these limits TSUNAMI will allow award holders to transfer funds between headings. An explanation must be given in the final report for any instances where expenditure exceeds or falls short of the total sum awarded under a particular heading by more than 20%. Transfer into the staff heading must include the transfer of the indirect costs (see 4.6.2). Transfers out of the staff heading requires the award holder to relinquish the indirect costs and pass them back to TSUNAMI. No part of the sum awarded for superannuation may be used for another purpose (see also 4.1.8).

3.3.3 TSUNAMI research grants may meet the direct costs of the following when required specifically for the purposes of the project:

a) staff - employing research, technical, secretarial and administrative staff (see Section 4.1); and projected promotion or merit pay.

b) travel and subsistence - working visits, fieldwork and conferences (see Section 4.2);

c) equipment - major capital items and special pieces of scientific equipment (see Section 4.3).

d) consumables - essential materials and services (see Section 4.4);

e) exceptional items, eg energy costs, which exceed a threshold level (see Section 4.5);

3.3.4 Research grants will also include an amount, calculated as a fixed percentage of direct staff costs, as a contribution towards the indirect costs associated with the research, ie those which cannot be assigned readily to particular research projects. TSUNAMI considers that the addition to staff costs includes:-

a) financial services (finance, accounting, tendering, marketing);

b) personnel services (redundancy and sickness benefit);

c) recruitment costs;

d) staff facilities (transport, health & safety (including insurance costs for fieldwork etc and Home Office licences) , welfare, laundry);

e) staff development (including training);

f) public relations;

g) institution libraries;

h) department services (administration, secretarial, local finance, minor consumables, printing, minor stores items, and laboratory and workshop support), postage, telephone and facsimile charges.

The current maximum rate for indirect costs is 46% for university departments.

3.3.5 TSUNAMI will **not** meet costs associated with the following:

a) employment of academic staff;

b) general premises costs including

- construction and maintenance of buildings
- land purchase/lease
- refurbishment/renovation/adaption
- basic services and utilities (including heating, lighting and communications)
- office furnishings
- lease/rent/rate
- insurance
- cleaning/portering/security/safety

c) teaching and demonstration fees;

d) statutory sick pay (see Concordat para 26) redundancy benefit or amounts recoverable from the Inland Revenue;

e) use of institutions' central and distributed computing facilities;

f) costs of attendance at conferences and similar meetings which are not covered in the research grant award letter;

3.3.6 **TSUNAMI shall have no responsibility, financial or otherwise, for expenditure or liabilities arising from a research project other than those specifically mentioned in the research grant award letter and this booklet (Sections 3.3.3 and 3.3.4) and which have been incurred during the period of the research grant.**

3.3.7 **Any commitment incurred before a research grant is formally announced, or any commitment in excess of the research grant, is the responsibility of the institution.**

3.4 ASSOCIATED RESEARCH

3.4.1 TSUNAMI will wish to be assured that the proposals have been formulated with regard to similar or related work in progress elsewhere; that the respective programmes would be complementary rather than competitive; and that where practicable and desirable, consultation and cooperation will take place. Investigators are encouraged to liaise with overseas institutions when this will be beneficial to the research project.

3.4.2 TSUNAMI seeks to encourage collaboration within and between workers in eligible institutions. Applicants are asked to consider the possibility of collaboration when formulating proposals.

3.5 PERMISSION FOR RESEARCH

3.5.1 It is the responsibility of the investigator and the institution to ensure that all research work carried out under a TSUNAMI grant complies with all current government regulations, or those introduced while the work is in progress. TSUNAMI will not be liable should an award holder be found to be in breach of any such regulation.

3.6 PROJECT DESCRIPTION AND CASE FOR SUPPORT

3.6.1 Applicants should submit a self-supporting account of their proposed project which is sufficiently detailed to enable the Management Board members to appreciate the nature of the project, and to understand how all the resources being sought relate to the project. It is particularly important to explain the respective roles of staff for whom support is sought, particularly any tied studentships, any associated personnel, and the principal investigator.

3.6.2 **Format of Support Case;** single spaced typescript of minimum font size 12 point should be used for all supporting cases with margins at a minimum of 1.5 cms. References can be presented in a smaller font size provided it is sufficiently clear to ensure good quality reproductions. Photo-reduced type must not be used.

Length of Support Cases; Support cases should include text, figures and references within 8 sides of A4.

Cases for support not complying with the above page limits and conditions will not be considered.

3.6.3 The description of the project should address the following points:

- Specific objectives of the project, including relevance to the TSUNAMI mission and the likelihood of successful delivery.
- Potential relevance to UK and international research work in the field and anticipated achievements, including datasets.
- The underlying rationale, scientific and technological issues being addressed and potential scientific, practical and socio-economic benefits.
- Methodology and approach.
- Programme and/or plan of research.
- Justification for resources being sought.
- Management of both project and resources, identifying the training and career development opportunities for personnel working on the project.
- Long term stewardship of resulting datasets for potential re-use by other scientists.
- Proposals for wider dissemination of results including those relating to the wider public understanding of science.

3.6.4 The head of department in which the applicant is to be tenured during the life of the project should provide comment on the proposal, and if possible, describe both how it fits into the departmental research programme and the extent to which the department can provide the base level facilities and ancillary services which will be needed to ensure the viability of the project if a research grant is awarded.

3.6.5 **All applications must be supported and counter-signed by the head of department and the administrative authorities of the institution. TSUNAMI will not consider a research grant application if the declarations and countersigning are incomplete.**

3.6.6 At the time of the announcement of an award the principal investigator is required to provide a one page non-technical summary of the proposed work that can easily be understood by non-experts.

3.7 ASSESSMENT OF APPLICATIONS

3.7.1 Applications are considered by the TSUNAMI Review Committee with the advice of the Scientific Advisory Committee. Proposals are assessed on their potential value to the insurance industry, scientific merit, standing of the researchers, deliverability and originality of research.. If an award is to be made applications will also be scrutinised for cost-effectiveness.

3.7.2 Applications will be graded by the TSUNAMI Review Committee, following advice from the Scientific Advisory Committe on the aspects described in 3.7.1 above.

3.7.3 A Principal Investigator may be invited to resubmit an application. In such instances the Principal Investigator will be given appropriate advice and guidance together with the terms and conditions for resubmission. Resubmissions are considered in open competition alongside all other applications received at the same closing date. As such they are not treated preferentially nor do they have an 'inside track' to funding.

SECTION 4: RESEARCH GRANT CONDITIONS RELATING TO RESOURCES BEING SOUGHT

4.1 STAFF

4.1.1 TSUNAMI regards the institution as the employer of all staff engaged on projects funded by TSUNAMI research grants. The institution should note that TSUNAMI accepts no responsibility or liability for staff engaged in such research, nor will it indemnify an institution against claims for damages for personal injury or any other claims for which it may become liable as employer and/or occupier of premises.

4.1.2 There is no barrier to the recruitment of scientific staff from overseas, provided that they have permission to work in the United Kingdom. The institution is solely responsible for the procurement of work permits.

4.1.3 No salary in respect of a principal investigator can be paid from a research grant. The salary of Co-applicants will be paid only if they are named as a PDRA or PGRA.

4.1.4 TSUNAMI has no objection to any of the posts funded by a research grant being filled on a part-time basis. Such posts should be identified at the time of application. Full-time posts may be for periods of time shorter than the length of the research grant, but whatever the length of appointment TSUNAMI shall not become liable in any circumstance for any claim for unfair dismissal or redundancy payments arising out of the appointment to a post funded from a TSUNAMI grant.

4.1.5 The staff whose salaries are chargeable to the research grant shall be appointed by the institution on the same salary conditions as those for similar posts in the institution. The prior approval of TSUNAMI must be obtained to proposals to make an appointment on any other conditions.

4.1.6 TSUNAMI will provide for salaries for staff in universities on the basis of spine points on the National Salary scales issued by the UCEA for research assistants in relevant Higher Education institutions. Where grant proposals include provision for named staff, TSUNAMI will normally expect to offer support at the scale point requested. However an offer of support at an alternative level may be made if that is considered appropriate. In the case of unnamed Postdoctoral Research assistants support will be awarded from spine point 6, grade point 4.

4.1.7 All research assistants and other staff recruited on TSUNAMI research grants are considered to be fixed term appointments. The institution will inform TSUNAMI as soon as possible of all appointments at the expense of the research grant, the rate of remuneration, and the date of incremental increases. In cases when the identity of a research assistant was unknown at the time of application, the institution should also forward a full curriculum vitae as soon as the research assistant is appointed.

4.1.8 The institution will accept all the responsibilities of an employer in respect of staff at the expense of the research grant, and may charge against the grant the cost of salaries, wages, National Insurance, and any customary provision by the institution for superannuation. It should be noted that the TSUNAMI will not reimburse the salaries of those staff considered to have been appointed on an inappropriate scale, ie post-graduate research assistants may not be appointed to the post-doctorate salary scale until they have successfully defended their thesis.

4.1.9 When calculating costs for staff employed under a research grant, the employer's liability for National Insurance and anticipated promotion and merit pay should be included. TSUNAMI will also reimburse institutions for the cost of superannuation, eg USS. Alternatively, if individuals opt for a personal pension plan, TSUNAMI will normally meet the cost of this, provided the cost does not exceed the USS contribution. It should be noted that funds may not be transferred from superannuation: if any funds are awarded for the purpose of superannuation, but not spent on superannuation, then the unspent balance will be deducted from the award. Similarly any anticipated funding for promotion and merit pay which is unspent, or not awarded, by the institution, will be reclaimed by TSUNAMI.

4.1.10 It is the intention of TSUNAMI to include an element for anticipated future pay awards in staff costs brought about by nationally agreed pay awards, although this cannot be guaranteed.

4.1.11 TSUNAMI should be consulted about adjustments to salaries of staff required to undertake teaching or demonstrating work, or part-time employment on work not aided by the research grant.

4.1.12 TSUNAMI must be notified of all staff appointed to a TSUNAMI research grant who register for a higher degree.

4.1.13 Tied studentships for work on standard grants are available only with a duration of at least 36 months. The studentship award must start at the same time as the grant.

4.1.14 TSUNAMI will not accept liability for the payment of fringe benefits, eg removal expenses, which may be included in the normal terms of appointment of the institution.

4.1.15 Funds for technicians and other support staff may be requested whether they are to be newly recruited or whether existing staff are to be allocated to the project. These posts may be either full-time (but not necessarily for the full lifetime of the grant), or the part-time effort of, for example, one or more technicians.

4.1.16 Senior Visiting Fellows should, in general, be subject to the same salary and conditions of service which the institution normally applies to persons of equivalent status. They are required to give their full-time support and assistance to the research project for the duration of their visit, which should be no longer than one year - continuous, or acceptable as say 4 months a year over 3 years.

4.1.17 Reasonable travel expenses to and from the United Kingdom will be paid for Senior Visiting Fellows (but not their families) coming from overseas, unless they are receiving a contribution from another source, or the fellowship is to be combined with a visit for some other purpose, in which case the TSUNAMI would wish to examine the possibility of sharing the cost with other sponsors.

4.1.18 If contributions to salary or other expenses are being made by a Senior Visiting Fellow's parent organisation or other body, the charges to the research grant should be reduced accordingly.

4.1.19 As previously stated, TSUNAMI accepts no responsibility or liability for staff engaged on research funded by TSUNAMI. The institution as employer will have statutory responsibility as employer under Health and Safety legislation for all persons appointed by them under any grant supported by NERC.

4.2 TRAVEL AND SUBSISTENCE

4.2.1 Subsistence expenses necessarily incurred in the UK for the purpose of the research grant will normally be payable at the same rates and under the same conditions as are customary within the institution.

4.2.2 TSUNAMI recognizes that travel and subsistence costs associated with working overseas will vary over time as well as between and within countries. Such uncertainties and variation mean that it is difficult to apply a globally applicable rate. Therefore TSUNAMI adopts NERC's general rule that the travel and subsistence on all research grants requiring overseas travel, fieldwork, visits etc should attract a standard rate (see NERC world wide web site at http://www.nerc.ac.uk/awards/costings.htm. Requirements above this figure, which will be reviewed regularly, need to be fully justified in the case for support and fully endorsed by the TSUNAMI Management Board.

4.2.3 The costs of private transport within the UK will be reimbursed by TSUNAMI at the NERC public transport rate. Higher mileage rates may be paid under particular circumstances, such as extensive off-road use of 4 wheel drive vehicles or the use of larger vehicles for transporting groups of people or large pieces of equipment etc.

4.2.4 The cost of attendance at conferences may only be charged to a research grant if the conference is directly relevant to the research, the request is fully justified in the application and if attendance will benefit the research or associated training specifically.

4.3 EQUIPMENT

4.3.1 The following major capital items and special pieces of scientific equipment may be requested as direct costs under the equipment heading:

a) equipment dedicated to the research project and costing £3,000 or more (including VAT), including computers and laboratory/workshop equipment;

b) major equipment spares and software;

c) equipment installation expenses (eg delivery, calibration);

4.3.2 When equipment is to be bought from overseas, advice on taxes and duties should be sought from HM Customs and Excise. TSUNAMI will not supplement a grant as a result of fluctuations in the exchange rate.

4.3.4 Normally, the institution will retain ownership of equipment purchased by means of a TSUNAMI research grant, although TSUNAMI itself reserves the right to retain ownership. If this latter should be the case, it will be specified in the attachment to the award letter.

4.4 CONSUMABLES AND RECURRENT COSTS

4.4.1 The institution will be expected in normal circumstances to provide the accommodation required for any project supported by a research grant.

4.4.2 Applications must include a complete breakdown of recurrent costs. The blanket type entry eg 'Consumables - £500' cannot be accepted.

4.4.3 TSUNAMI will consider reimbursement of the marginal costs of running a university-owned vehicle (ie the additional costs arising from the use of the vehicle for the particular research covered by the award) but not the full economic cost.

4.4.4 An adequate computing service is a basic facility which is expected to be available to investigators at most institutions. Recurrent costs, but not funds for the purchase of computers for routine analysis of data, may be applied for. Specialised computer and word processing facilities, dedicated to the needs of the research project, may also be applied for.

4.4.5 The responsibility for the safety of equipment purchased under a research grant rests with the institution. The institution shall insure such equipment/property acquired under the grant to the same extent that it customarily insures its own equipment and shall observe in its use such reasonable precautions as are normal in the use of property belonging to the institution.

4.4.6 The cost of using commercial information services may be sought only in those cases where information essential for the conduct of the research is exceptional in nature or amount and would impose an unreasonable burden upon the normal institution information services.

4.5 EXCEPTIONAL ITEMS

4.5.1 This section is limited to the items listed below, which should be included only where their use is specifically required by the project. Where costs exceed the thresholds, the full costs should be included. All items must be justified fully in the case for support, and costs should be based on actual prices including VAT. No allowances should be made for inflation.

a) equipment energy costs where the energy costs of the project will be £1,000 or more per annum;

b) equipment procurement where other than normal tendering is required, eg quantity surveying etc, and where the cost will be £2,500 or more;

c) telephone, facsimile, and special postal costs where they are dedicated to the project and separately metered, and where individual costs will be £1,000 or more per annum;

d) specialist cartography, photography, and printing and photocopying charges where the total costs will be more than £2,500 over the period of the grant.

4.6 INDIRECT COSTS (see also 3.3.4)

4.6.1 Indirect costs are defined as those central and departmental costs that underpin the research activities but which cannot be assigned uniquely to particular research projects.

4.6.2 The announced research grant will include indirect costs as a fixed percentage of direct staff costs. Funds provided for indirect costs are intended solely for this purpose and may not be transferred to any other heading of expenditure. If funds are transferred to the staff heading, funds must also be transferred into the indirect heading to maintain the agreed ratio.

4.6.3 The maximum rate for indirect costs will be 46% for university departments.

SECTION 5: ANNOUNCEMENT OF AWARD, PROGRESS OF THE RESEARCH PROJECT AND FINAL REPORTING ARRANGEMENTS

5.1 ANNOUNCEMENT

5.1.1 This booklet sets out the standard terms and conditions which will form the basis on which grants are awarded. Where applicable, TSUNAMI reserves the right to vary and/or add additional conditions where appropriate and at its sole discretion.

5.1.2 When an application is approved, the research grant will be announced in a formal offer to the institution giving details of the research grant and any special conditions governing it. Institutions will be required to formally accept the offer of a research grant within 4 weeks of receipt of the offer of award. At the time of acceptance of the award the principal investigator is required to provide a one-page non-technical summary of the proposed work that can be easily understood by non-experts.

5.1.3 Any possible delays to the start of a research grant will be dealt with on an individual basis and insititutions must be in a position to begin and complete the work within the originally agreed time-scale. TSUNAMI must be notified as soon as it becomes apparent that the start of a grant will be subject to delay and certainly within one month of the notified grant start date. A very strong case must be made if the delay is likely to exceed a month. If a research grant has not started within one month of the original start date, then TSUNAMI reserves the right to withdraw the grant and place it with another institution.

5.1.4 TSUNAMI shall have no responsibility, financial or otherwise, for expenditure or liabilities arising from the research work other than those specifically mentioned in the announcement of the award and in this booklet, and which have been incurred during the period of the award.

5.1.5 Applications are accepted and research grants awarded on the understanding that institutions and principal investigators will comply with the conditions governing the research grant.

5.2 ADMINISTRATION

5.2.1 In administering the research grant the institution is required to employ the same methods to secure economy and efficiency as those practised for projects financed out of Higher Education Funding Councils' funds. In particular, any instruction or guidance issued by the Higher Education Funding Councils should be followed. Institutions not supported by Higher Education Funding Councils' funds are required to take appropriate steps to secure economy and efficiency.

5.3 FINANCES

5.3.1 All grants are cash limited and funds awarded will include an element for anticipated future pay awards and inflation. Research Grants will **not** be supplemented.

5.3.2 With the exception of provision for large capital expenditures, investigators will be able to more funds between headings without reference to TSUNAMI, but see Sections 4.1.7 (Superannuation) and 4.6.2 (Indirect Costs).

5.3.3 Investigators will, through the Final Report procedures, be expected to provide an explanation in those cases where the use of funds has been significantly different from that anticipated at the time of award. Where funds for staff have been used for other purposes a specific explanation will be required.

5.4 CONTRACTS AND TENDERS

5.4.1 TSUNAMI requires that all contracts in excess of £1,000 should be let as a result of competitive tendering. There may be exceptions to this condition:-

- where the technical requirements of the project are well-defined, and it is clear that only one firm's equipment will meet the specification;

- where accessories or replacements are required for specialised or proprietary equipment; and

- where 'repeat' orders are made for suppliers or services at similar prices and terms to those recently obtained (ie within the last 6 months).

5.4.2 A formal invitation to tender is essential for tendering to ensure that contractors quote on a uniform basis, and on the same conditions. The form of invitation should also provide for waiver by the contractor of conditions printed on documents emanating from him, thus avoiding the danger of onerous and perhaps ambiguous conditions being imposed on the institution.

5.4.3 TSUNAMI requires the institution to accept the tender quoting the best value for money. There are several factors which affect this concept of 'value for money': performance; depreciation; maintenance and running costs; the availability of spare parts, etc. The lowest offer may not always be the best value for money.

5.4.4 Payment of goods and/or services should only be made upon satisfactory completion (ie when the goods have been received/accepted as in good condition/working order and services completed to the satisfaction of the person requiring the service to be performed).

5.5 REIMBURSEMENT OF EXPENDITURE

5.5.1 Reimbursement of expenditure will normally be made automatically on the 15th day of the final month of the quarter, plus or minus 30 days according to an agreed pre-defined profile of expenditure.

5.5.2 Reimbursement of all research grants held at the institution will be made on a single payable order, accompanied by a Customer Account, showing details of the payment.

5.5.3 An Annual Statement will be provided after the end of each financial year summarising the payments made during the year. The institution must reach agreement with TSUNAMI on the content of the Annual Statement before regular quarterly payment can continue.

5.6 FINAL REPORTING ARRANGEMENTS AND EXPENDITURE STATEMENT

5.6.1 Within three months of the termination of the grant, the principal investigator must submit the following:

- a form summarising basic information on original objectives achievements, output etc.

- a detailed report of no **more than 8 sides** of A4 single spaced typescript of minimum font size 12, with all margins a minimum of 1.5cm, that includes all necessary tables and figures plus a full list of references. Investigators are expected to provide an explanation in cases where the use of funds have been significantly different from that anticipated at the time of award (see para 5.3.3).

- an additional one page non-technical summary suitable for the general public and lay reader describing aims, achievements and beneficiaries.

- a final expenditure statement.

If there are exceptional reasons which prevent these being submitted within one month TSUNAMI must be notified in writing.

5.6.2 Failure to meet the one month deadline or to inform TSUNAMI of mitigating circumstances will mean that TSUNAMI will:

- not consider subsequent research proposals from all investigators named on the award until the final report is received.

- recover 20% of the value of the grant if the final report and/or final expenditure statement is not received within 1 month of the termination of the research grant.

- recover 100% of the value of the grant if the final expenditure statement has not been received within three months of the date that the final Expenditure Statement was due.

5.7 CONTENT OF FINAL REPORTS

5.7.1 The final report should be well planned and include all necessary tables and figures. It should state clearly the progress or achievements of the project in comparison with objectives contained in the original application, and any recommendations or amendments made by TSUNAMI at the time of the award. It should also emphasise general scientific and practical achievements, specify the beneficiaries (ie other researchers, industry, government etc) and include an explanation of how the science and engineering will be communicated to the general public.

5.7.2 TSUNAMI supports NERC's view that publication in the refereed scientific journals and publication of datasets (e.g. through their deposition with a Research Council Data Centre) as the proper means of reporting the findings of the research grant project.

5.7.3 Final reports from research grants will be reviewed by the TSUNAMI Management Board.

5.7.4 Where Final Reports are graded unsatisfactory researchers will be invited to submit an amended Final Report which will be resubmitted for review. In the event of an unsatisfactory grade being confirmed sanctions will be applied (see section 3.1.6)

5.8 PUBLICITY

5.8.1 **Publication of Work.** Investigators are expected to publish the results of their research in the appropriate scientific journals (see 5.7.2). They are, however, invited to consult TSUNAMI to discuss the timing of such publications and the access to the results that is given to the Sponsoring Consortium. All published papers should acknowledge support received from the TSUNAMI, by quoting the title of the original Announcement of Opportunity.

5.8.2 **Data Availability.** TSUNAMI supports NERC's policy to increase the visibility and awareness of environmental data and to improve their management as an overall resource. Research grant holders should therefore make sure that NERC Designated Data Centres are aware of significant datasets generated, or to be compiled, under the award so that their long term stewardship can be assured or planned.

5.8.3 TSUNAMI reserves the right of access to all unpublished papers, records data or collections resulting from the work carried out under a research grant, some of which may be required to be deposited with TSUNAMI. Similarly TSUNAMI reserves the right to use information on the outcome of research grants elsewhere to report on achievements, for example in Annual reports, Corporate Plans.

5.8.4 TSUNAMI may require detailed information on the results of the work funded by grants and contracts, to be used for its scientific and financial audit procedures.

5.8.5 **Public Understanding of Science.** TSUNAMI is keen to increase public understanding and public awareness of science and has an expectation that grant holders will take an active role in promoting and developing this policy. TSUNAMI grant holders are therefore encouraged to take part in national or local initiatives focused on promoting public understanding of science.

5.9 EARLY TERMINATION OF AWARD

5.9.1 If an institution should find itself unable to meet the conditions issued at the time of award, for whatever reason, then it may be required to relinquish that award. Similarly, an award may be relinquished voluntarily if the principal investigator should encounter difficulties in establishing any part of the research project.

5.9.2 Subject to satisfactory progress, it is the intention of the TSUNAMI to allow the completion of the project envisaged in the research grant. However, it is necessary for TSUNAMI to reserve the right to terminate the research grant at any time, subject to reasonable notice and the payment of such final instalments as may be necessary to cover outstanding and unavoidable commitments.

SECTION 6 INTELLECTUAL PROPERTY

6.1 GENERAL POLICY

6.1.1 Scientific research gives rise to: inventions such as new devices, materials and processes, ideas, know-how and other results which are often manifest as data. Such products are referred to as Intellectual Property. It is TSUNAMI's policy that any such Intellectual Property generated from TSUNAMI supported research should be exploited.

Arrangements should be made to identify, protect and value any arising Intellectual Property and to secure a suitable return to the institution and the investigators through exploitation. Ownership of any Intellectual Property should be clearly set out and agreed with TSUNAMI prior to any collaborative work commencing and should be clarified prior to exploitation. Dual or multiple ownership should be avoided.

Grant holders are expected to notify TSUNAMI when TSUNAMI funded Intellectual Property is exploited.

In the case of studentships the Intellectual Property ownership initially lies with the student, however many universities have their own policy which is locally applicable. In many cases it is in the best interest of the student for ownership to be vested with the university which will have greater negotiating powers and will be likely to be able to seek the best returns in any exploitation agreement.

SECTION 7 TSUNAMI COMPLAINTS PROCEDURE

7.1 INTRODUCTION

Although it is hoped that any queries or grievences can be dealt with directly by the TSUNAMI Project Director, a formal grievence and complaints procedure has been set out below.

7.2 RATIONALE

TSUNAMI is a collaborative project between the Sponsoring Consortium and the Insurance Division of HM Treasury, under the DTI Sector Challenge. Ultimately, all research grant funding, administration and management decisions will rest with the TSUNAMI Management Board which is made up from representatives of all of these groups.

7.3. SCOPE AND RESPONSIBILITIES

Normal practice should be to discuss any problems beforehand with the Project Director. The procedure outlined below will be the recognised channel for the submission and resolution of formal complaints about any of the services and procedures within TSUNAMI.

7.4. PROCEDURE

Anyone with a complaint is advised initially to discuss the problem(s) with the appropriate Project Director, whose contact details are given in section 1.2.

Formal complaints should be directed in writing (via post or e-mail) to the TSUNAMI Board Chairman: Dr Dougal Goodman, Deputy Director (Innovation), British Antarctic Survey, High Cross, Madingley Road, Cambridge CB3 0ET (E.mail: D.Goodman@BAS.AC.UK.

The Chairman will aim to acknowledge receipt of the complaint and/or discuss any related matters of clarification within ten working days. The Chairman will investigate the complaint, as appropriate with the TSUNAMI Management Board, and endeavour to resolve problems to the complainant's satisfaction.

Appendix A

REMIT OF THE TSUNAMI INITIATIVE

TSUNAMI Mission:

To improve the competitiveness of the UK insurance industry, by using the UK science effort to improve the assessment of risk.

APPENDIX B

ORGANISATIONS IN ADDITION TO UNIVERSITIES ELIGIBLE TO SUBMIT RESEARCH GRANT APPLICATIONS

The criteria applied to those organisations wishing to apply for TSUNAMI funding is as follows:

- non-profit making organisation, ie exempt from corportation tax for IR reporting purposes.
- have clear proof of an independent, in-house research and training capability.
- be capable of enhancing and extending the science base of the Research Councils
- not be a funding body in their own right.