

## Appendix D

### Generic Terms and Conditions of Funding

#### Preamble

1. JISC funds a wide variety of projects on behalf of its funding bodies. These projects include consultancies and supporting studies where the main deliverable is a report, and projects where the deliverables include products or services as well as reports. These generic terms and conditions apply to all projects and define the responsibilities of the lead institution and its project partners.

#### Adherence to Project Management Guidelines

2. The institution and its partners must adhere to the Project Management Guidelines available electronically at [http://www.jisc.ac.uk/fundingopportunities/proj\\_manguide.aspx](http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx). The Guidelines provide initial advice on project planning, project management, the relationships between JISC programmes and projects, evaluation, and dissemination. The Guidelines will be updated from time to time, and the lead institution will be notified of any major changes. It is the responsibility of the lead institution to inform its project partners accordingly.

#### Submission of Agreed Deliverables

3. The institution and its partners must supply all deliverables specified in the agreed project proposal. The schedule for submitting deliverables must be included in the Project Plan and agreed with the JISC Executive. Any changes to this schedule must be agreed in writing with the JISC Executive.

4. Project deliverables are subject to approval by the JISC Executive, and the framework for approval is outlined in the Project Management Guidelines.

5. Project deliverables will be deposited in the appropriate JISC data centre or managed repository, where appropriate.

#### Core Project Document Set

6. The lead institution must also supply a core set of documents to indicate how the project work will be planned and implemented, to report on progress, and to inform future auditing and evaluation. It is the responsibility of the lead institution to agree these documents with its project partners prior to submission.

7. The core project documents are listed below and further information about each document is provided in the Project Management Guidelines.

8. Core project documents are subject to approval by the JISC Executive, and the framework for approval is outlined in the Project Management Guidelines.

9. Core project documents will be deposited in the JISC records management system and/or project information management system so they are accessible to the JISC Executive.

Core Project Document	Timing
Project Plan (including an Evaluation Plan, QA Plan, Dissemination Plan, and Exit/Sustainability Plan)	Within 1 month of start date
Project web page on JISC web site (including copy of accepted Project Plan)	Within 1 month of start date
Project web site at lead institution	Within 3 months of start date

Consortium Agreement (for projects involving more than one institution)	Within 3 months of start date
Progress Reports (including financial statement)	Default 2 per year; schedule to be agreed with Programme Manager for projects of less than 12 months
Technical and supporting documentation (for projects creating technical deliverables)	Timing to be agreed with Programme Manager
Final Report	Draft version 1 month before project end date; final version at project end date
Completion Report, including financial statement	Project end date

### **Intellectual Property Rights**

10. The ownership of intellectual property rights made, discovered, or created during the period of project funding will be indicated in the grant funding call/ITT and in the letter of grant.

11. The institution and its partners must ensure that deliverables do not in any way infringe copyright or other intellectual property rights of any third party. For content creation projects, copyright and other intellectual property rights should be cleared before digitisation begins or cleared in stages as a managed part of the creation process. Rights need to be cleared for networked delivery of these resources in learning, teaching and research. It is a matter for the institution and its partners to ensure that their rights are adequately protected.

### **Jorum Deposit for Learning Resources**

12. Jorum provides a long-term solution for hosting and delivering any project outputs that are learning materials, case studies, teaching materials and staff development materials. Jorum is available as a national service for deposit and access to such materials and JISC strongly encourages its use by JISC-funded projects. Where IPR and other conditions permit this, the use of Jorum will be mandated. Further guidance will be indicated in the grant funding call/ITT and in the letter of grant.

### **Charging**

13. Funding is made available on the condition that the institution and its partners shall make available deliverables developed by the project free of charge to the teaching, learning, and research communities during the period of funding, except for a handling and/or usage charge with must be agreed in writing with the JISC Executive.

### **Programme Meetings and Events**

14. Programme meetings and other events are organised by JISC to brief project staff and share knowledge. Two major programme meetings are held per year, and attendance at programme meetings is mandatory. Projects should allocate staff time to participate in programme activities, and the Project Management Guidelines provide guidance on days per year to allow. The project will be provided with a schedule of meeting dates.

15. Projects should also allocate time to liaise with the Programme Manager on a regular basis, and institutions should provide access to the Programme Manager at any reasonable time.

### **Dissemination**

16. The institution and its partners must commit to disseminating and sharing learning from the project throughout the community. The institution and its partners must develop a Dissemination Plan as part of the overall Project Plan and report on dissemination activities in Progress Reports and the Completion Report. Further information about dissemination is available in the Project Management Guidelines.

## **Project Web Site**

17. The institution and its partners must create a web page or web site to explain the project aims and objectives and to disseminate information about project activities and results. The Project Management Guidelines give guidance on the scope, content, and design of web sites.

18. Where appropriate, project deliverables and core project documents may be posted on the project web site. As the project web site is primarily a dissemination vehicle, deliverables and documents posted are considered to be copies, and the masters will be deposited in the appropriate JISC repository.

19. The lead institution or one of its partners must agree to host the web site on their server for a minimum of 3 years after the end of the project and to assist JISC in archiving it subsequently.

## **Publicity**

20. In any publicity material or public presentation about the project it is essential to include an indication that the project was made possible by funding from JISC. Projects and services must adhere to JISC PR Guidelines and to any additional advice established by the JISC Communications and Marketing team in due course. The current JISC Communication and Marketing Toolkit can be found at [http://www.jisc.ac.uk/aboutus/marketing\\_toolkit.aspx](http://www.jisc.ac.uk/aboutus/marketing_toolkit.aspx).

## **Open Access**

21. JISC supports unrestricted access to the published output of publicly-funded research and wishes to encourage open access to research outputs to ensure that the fruits of UK research are made more widely available.

22. JISC firmly believes in the value of repositories as a means of improving access to the results of publicly-funded research and is investing significantly in this area. A national support project is available to help institutions develop repositories and share practice ([http://www.jisc.ac.uk/whatwedo/programmes/programme\\_rep\\_pres/rep\\_support.aspx](http://www.jisc.ac.uk/whatwedo/programmes/programme_rep_pres/rep_support.aspx)).

23. JISC expects that the full text of all published research papers and conference proceedings arising from JISC-funded work should be deposited in an open access institutional repository, or a subject repository. Deposit should include bibliographical metadata relating to such articles, and should be completed within six months of the publication date of the paper.

24. Which version of the article should be deposited depends upon publishers' agreements with their authors but JISC mandates that articles should be made available through publishers that adopt the RoMEO "green" approach as a minimum (for further information see <http://www.sherpa.ac.uk/romeoinfo.html#colours>). Authors should go to another journal if the journal chosen does not adopt the RoMEO "green" conditions.

25. JISC mandates the deposit of the native version (Word, PPT, etc.), with PDF as well if wanted, but certainly with a format from which usable xml can in principle be derived (not PDF).

## **Evaluation**

26. JISC undertakes evaluation of its development projects and programmes to ensure that knowledge and results are shared with the wider community and to improve the development programme itself. Projects are required to participate in programme evaluation activities organised by JISC.

27. The institution and its partners are also required to undertake evaluation of their work. The institution and its partners must develop an Evaluation Plan as part of the overall Project Plan and report on evaluation results in Progress Reports and the Final Report. Further information about evaluation is available in the Project Management Guidelines.

### **Exit/Sustainability Plan**

28. Funding is for a limited term as set out in the letter of grant. The institution and its partners must develop an Exit/Sustainability Plan as part of the overall Project Plan to document the planning needed to get the best value from the work that has been funded. This will include an assessment of what should happen to deliverables and options for sustainability after funding ceases. Where the institution and its partners wish to exploit deliverables on a commercial basis after funding ceases, they should submit a business plan with economic models that demonstrate how the product or service will be self-sustaining. Further information about exit/sustainability is available in the Project Management Guidelines.

### **Adherence to Standards**

29. The institution and its partners must use the technical standards stipulated by JISC and where unstipulated open standards wherever possible, Any deviation should be justified in the proposal and any alternative be designed with re-use by others in mind. Ease of interoperability between systems is key to the provision of next generation technologies for education and research, and projects are expected to work with JISC to address this issue. It is the responsibility of the lead institution to inform its project partners accordingly. Relevant standards can be found in the JISC Standards Catalogue <http://standards.jisc.ac.uk/>.

### **Quality Assurance**

30. The institution and its partners must put in place appropriate formal quality assurance procedures to ensure that deliverables are fit for purpose and comply with specifications, JISC guidelines on standards and best practice, and accessibility legislation. Projects must develop a QA Plan as part of the overall Project Plan describing the QA procedures they will put in place and supply evidence of compliance when deliverables are submitted. Further information about QA is available in the Project Management Guidelines.

### **Payment Schedule**

31. The schedule of payments will be indicated in the letter of grant. If more than one institution is involved in a project or service, payments will be made to the lead institution. It is the responsibility of the lead institution to disburse the funds to its project partners.

32. Payment is conditional upon satisfactory progress with milestones and deliverables. The institution and its partners must supply deliverables and core project documents on schedule or subsequent payments may be withheld.

33. At the end of the project, any unspent funds should be returned to JISC unless a formal agreement is reached with the JISC Executive about how these funds may be spent to further support the work of the project.

34. For financial audit, the procedures of the lead or fund-holding institution will apply. In general, JISC does not intend to send financial auditors to projects. However, there remains the possibility that JISC's auditors may wish to audit projects. Project fund holders are required to make themselves available for a visit by members of the JISC Executive or nominees on reasonable notice.

## **Staff Development**

35. Funding is for a limited term as set out in the letter of grant. Near the end of the project funding, institutions should inform project staff about career development opportunities. These might include information about job vacancies within the institution or opportunities for training and career guidance.

## **Compliance with UK and EU Legislation**

36. The institution and its partners must comply with any UK or EU legislation or any international Treaty obligations currently in force or introduced during the timescale of the project that has implications for the conduct of projects or the deliverables/documents they supply. JISC will endeavour to inform the lead institution of relevant legislation and supply guidance for compliance. It is the responsibility of the lead institution to inform its project partners accordingly. Further advice and guidance is available from the JISC Legal Information Service (<http://www.jisclegal.ac.uk/>), email: [jlis@strath.ac.uk](mailto:jlis@strath.ac.uk), Tel: 0141 548 4939.

## **Accessibility**

37. In line with Government legislation and social inclusion initiatives, JISC is committed to providing resources that are accessible to a diverse range of users. In order to achieve this JISC advise that all resources including the project web site meet good practice standards and guidelines pertaining to the media in which they are produced, for example HTML resources should be produced to W3C html 4.01 strict (<http://www.w3.org/TR/1999/REC-html401-19991224/>) and use W3C WAI guidelines to double A conformance (<http://www.w3.org/WAI/WCAG1AA-Conformance>). Further advice and guidance is available from the JISC TechDis Service (<http://www.techdis.ac.uk>), e-mail: [helpdesk@techdis.ac.uk](mailto:helpdesk@techdis.ac.uk), Tel: 01904 754 530.

## **Data Protection**

38. The institution and its partners must accept responsibility as the data controller or Joint Data Controllers as defined by the Data Protection Act 1998 ('the Act') for the personal data collected and processed as a result of this project. Neither HEFCE nor the funding bodies accept responsibility for any breaches of the Act which occur due to the actions of project staff or agents directed by them.

39. HEFCE is the recognised data controller for JISC. In line with the requirements of the Data Protection Act 1998, the institution and its partners hereby grant HEFCE permission to hold the names, job titles, and work contact details of project staff to enable administration of the programme that the project is part of and to keep project staff up to date with information pertinent to it.

40. The institution and its partners also grant HEFCE permission to hold these contact details as part of the main JISC Contacts Database. They will be used to contact staff or send them information from other JISC sources relating to forthcoming events or initiatives which may be of interest.

41. This information would be made available to the JISC Executive, staff within the Regional Support Centres and staff within other JISC-funded services and initiatives only for the purposes described above. This data will be held until such time as the institution instructs HEFCE otherwise or for the lifetime of HEFCE.

42. Any institution which prefers that project details were not held as part of the JISC Contacts Database, or would like any further information about how this data will be processed, should contact the JISC Executive.

*Freedom of Information*

43. The institution and its partners should be aware that educational institutions are listed as public authorities under Schedule 1 of the Freedom of Information Act 2000 ('the Act'). The information created by project staff during the course of the project and as described in their original bid is therefore covered by the provisions of the Act.

44. Neither HEFCE nor the funding bodies accept any responsibility for the project's compliance with the Act for information held by the project staff. This is deemed to be the responsibility of their host institution(s).

45. HEFCE will comply with the terms of the Act for information relating to the project or programme of which it is part that is held by the JISC Executive. Project staff should therefore be aware that any contracts, information or communications in written form (including email) which are sent to the JISC Executive (including the Programme Manager) may be made available to the public on receipt of a valid request unless covered by one of the classes of exempt information listed in Part 2 of the Act.