

## NERC Services and Facilities (S&F) Policy & Processes Manual Change Log

The manual is kept under constant review and may be revised at any time.

**Latest Version: January 2014**

Changes from previous edition: October 2012

Section	Change
Throughout the document	Update name of Shared Service Centre (SSC) to UK Shared Business Services (UKSBS)
2.2.1 – Process for applying to use a NERC facility via NERC grants	<p><u>Grants Application Form</u></p> <p><i>Remove</i> - There is also a facilities section within Je-S where PIs should select any facility they wish to use. (If a grant is not using a facility there is a box to tick to say so – applicants will not be able to submit the application without either selecting a facility or ticking the 'no facility' box). Brief details of facility usage should also be included. There is no specific place for this but putting it in the justification of resources is advisable. NERC really just needs to know how many samples and what analysis or what piece(s) of equipment is wanted and for how long etc. Unlike applications involving aircraft, the ships/marine and polar logistical support, there is no need to submit a S&amp;F application form together with the grant proposal (HPC usage no longer requires a S&amp;F application form to be submitted along with the grant). Since Earth Observation, Atmospheric, Archive, Equipment Pool and Analytical facilities do not need a facilities application form to be submitted with the grant application, NERC asks for brief details to be included in the grant form. It is recommended that a quote be issued to the grant PI which should then be submitted via Je-S as part of the grant application paperwork.</p> <p><i>Insert</i> - PIs wishing to use a facility will need to submit a mandatory 'technical assessment' with their grant application. This is a result of cross-council harmonisation and for NERC the technical assessment will be in the form of a quote. Quotes are free text (there is no form or template) but should include the number &amp; type of samples, type of analysis required or the type of equipment loaned and number of days etc (whatever is suitable to the facility) and the cost. Any caveats particular to a certain facility should also be included. By issuing this quote the facility is stating that the PI has spoken with the facility, it is able to carry out the work and this is the estimated cost. PIs will select the facility they want to use from the drop down menu and then will have to upload the facility quote/technical assessment. There will also be a couple of boxes for unit and cost but these are not mandatory. The grants handbook states that PI should contact the facility to obtain the technical assessment a minimum of one month prior to the grant submission deadline.</p> <p>Facilities costs that were not requested on the grant proposal will not be added later and the will PI need to find the funds from his existing grant money. If this cannot be done the PI can contact the grants team (or programme manager for RP) and make the case for additional funding but they are not guaranteed to get it. NERC will arrange with the PI to</p>

	<p>underspend on his grant by the cost of the facility usage (facilities should let SFMT know the costs) and S&amp;F will claim the money from the grant budget as usual. This also applies to situations where the PI didn't know they wanted/needed to use a facility when they submitted the grant.</p> <p>Unlike applications involving aircraft, the ships/marine and polar logistical support, there is no need to submit a S&amp;F application form together with the grant proposal (HPC usage no longer requires a S&amp;F application form to be submitted along with the grant).</p> <p><u>NERC Grants and Facility Steering Committee</u></p> <p><i>Remove</i> – Once a grant has been funded, SFMT checks the application and ensures the Facility is sent a copy. (There may be specific questions asked as well). By sending an application to the Facility, we are signalling that the project has been, or most likely will be, funded, and this will inform Facilities as to the scope of the full project (often this is the first time the facility will have seen the full application).</p> <p><i>Insert</i> - Once a grant has been funded, SFMT receives a list of the grants intending to use a facility from the grants team in the case of RM and fellowships and the programme managers for RP. SFMT circulate this list to the facilities on the list to let them know the application has been funded. Facilities can then request the grant documentation if needed. There may be facility specific questions put to the facility by the grants team, programme manager or SFMT, before a grant is approved for funding.</p>
2.2.2-Direct Access	<p><i>Remove</i> - Individual direct access projects should not be above about 10% of the capacity of the facility for the year.</p> <p><i>Insert</i> - Individual direct access projects are not expected be above about 10% of the capacity of the facility for the year, but exceptions can be made in exceptional cases with the agreement of the facility and the steering committee.</p> <p><i>Remove</i> - There may be occasions, however, when during the course of a NERC grant project something interesting is found and it would be good, for example, to get a set of analyses for a particular sample. Even though the analysis was not included in the grant, direct access could be applied for. The PI should state why is was not included in the grant and, providing the project is graded sufficiently highly by the steering committee, the project would most likely go ahead, although it would not be a first priority.</p>
2.2.6 – Obligations of Successful Applicants	<p><i>Insert</i> - The open access policy (<a href="http://www.rcuk.ac.uk/research/Pages/outputs.aspx">http://www.rcuk.ac.uk/research/Pages/outputs.aspx</a>) relating to all peer-reviewed research papers arising from Research Council funded activities, where the authors acknowledge research council funding came into place on 1st April 2013. Papers resulting from facility work in relation to a NERC grant are clearly covered by this policy, as are papers by the facility staff themselves which result from facility work as both scenarios receive direct NERC funding. Papers produced by non-NERC funded PIs using</p>

	the facility (direct access work) will also be covered by the policy, if the NERC contribution to the research via the facility is considered to be significant enough to acknowledge NERC as a funder within the paper. UK HEIs have received a block-grant from RCUK to support costs of Open Access publishing.
3.1 Timetable of SFMT Business Cycle Items	Capital - Updated to reflect the change of management to the NERC Centres
3.5 - Capital	Updated to reflect the change of management to the NERC Centres
3.7 – Output Performance Measures (OPMs)	<p>Remove – <a href="#">Annex 9</a> is currently unavailable but will be added when the new guidance briefing is released. Please note that OPM data is collected and collated by the Strategic Management Group and not SFMT. The deadline for submission of data is likely to be the end of March 2013. (The Strategic Management Group will advise deadline when the data is requested).</p> <p><i>Insert</i> - <a href="#">Annex 9</a> gives the 2014 guidance briefing. Please note that OPM data is not collected and collated by SFMT. Outcomes can be submitted at any time during the year. The next refresh of information on ROS will be at the end of March 2014.</p>
3.9.1 - Terms of Reference and Remit of Steering Committees	Update title of Director of Science Delivery to Director of Science
3.9.9 - Minimum Requirements for Holding a SC meeting	New item
Annex 1 – List of facilities in current portfolio	<i>Remove</i> – ‘Swindon’ from location of ARSF; <i>Insert</i> - EISCAT information
Annex 3 - Duties and Responsibilities of a Facility Contact Point within SFMT	Paragraph 7 - Proactively engage with the NERC community.....- <i>remove</i> ‘college training days’
Annex 9 – OPM exercise briefing notes	Replaced with latest guidelines.