



2008/9 Guide to Grants for Research and Innovation

Sections:

1. Introduction (including grant criteria, exclusions and FAQs)
2. How and when to apply
3. Writing the application
4. Communicating outcomes
5. Ethical review of projects
6. Budget guidelines
7. Terms and Conditions

Appendices:

- A: Summary application sheet
- B: Final Summary Report Form

1. INTRODUCTION

The Foundation currently has three grant programmes that support research and innovation. These are:

- **Access to Justice** - promotes access to, and understanding of, the civil justice system.
- **Child Protection and Family Justice** - helps to ensure that the legal and institutional framework is best adapted to meet the needs of children and families.
- **Open Door** – for projects that advance social well being, but lie outside our main programme areas.

Grants are mainly for research, (usually carried out in universities or independent research institutes) but are also made for practical developments or innovation (often in voluntary sector organisations).

As an independent Foundation, we are well placed to deal with sensitive issues and to challenge fashions and tacit assumptions. We support people with creative ideas to identify change or interventions which will have a practical impact for researchers, policy makers, and practitioners. We do not fund the ongoing costs of existing work or services, or research that simply advances knowledge.

The Foundation also has an **Education Programme**, which supports research and developmental work in specific priority areas. Unsolicited grant proposals are not accepted, but other funding opportunities arise from time to time.

Grant Criteria (see also ‘Exclusions’ and ‘FAQs’)

- Your project must be innovative. We will not fund the ongoing costs of existing work or services.
- The project should aim to have an impact beyond its immediate beneficiaries. It should be of more than local or regional interest.
- We will give preference to projects with outcomes which will be of interest and use to practitioners and policy makers. We do not fund research that simply advances knowledge.
- We will look for evidence that you have identified those to whom the outcomes of the project will be most relevant, and have engaged them where possible from the early stages of the project.
- Your project should include follow-up plans to assess the success or otherwise of the project/research, how effectively results were disseminated, and whether the desired impact was achieved.

Exclusions

Please note we do not fund any projects in these areas:

- Animal rights or welfare
- The Arts
- Conservation, heritage or environmental projects
- Housing
- Medical research
- Museums
- Religion
- Sports and recreation

FAQs

Will you help to fund the running costs of my charity, volunteer or community group?

The Foundation does not make grants for the running costs of voluntary bodies or the continuing provision of a service, however worthwhile.

Do you fund projects abroad?

We normally make grants only to UK organisations, and support work that will be mainly based in the UK, although the Trustees welcome proposals for collaborative projects involving partners in European or Commonwealth countries.

Do you make capital grants?

We do not make grants for capital or building costs. Grants for equipment are allowed when they are part of a project that is otherwise acceptable. We do not make grants solely for purchase of equipment (including computers).

What size grants do you make?

Grants normally range in size from £5,000 to £150,000. We are able to consider larger grants but make only a few each year. These larger grants may take longer to process (up to six months).

Can I apply for funding if I am also applying to another body, eg a Research Council?

We do not normally fund projects that could be considered by a government department, a Research Council or a more appropriate charity.

Can I get help to attend a conference?

No, we do not give grants simply to attend conferences.

Will you help to fund a conference or seminar?

No, we do not give grants simply to support a conference or seminar.

Do you fund research reviews?

The Foundation is willing to fund research reviews in any of our areas of special interest, in the form of critical syntheses that bring together a body of research evidence, particularly where these draw out the implications for practice and are aimed at a defined practitioner audience.

Can you fund a Chair or other academic post?

No, we do not fund the establishment of Chairs, or other permanent academic posts

I want to make a film or video. Can you help?

No, we do not give grants simply for the production of films or videos, or for exhibitions.

Can I get help towards school fees, a university course, or a gap year project?

No, we do not fund individuals for any of these activities.

I need money – can you help?

No, we cannot respond to requests for financial help from or on behalf of individuals in distress.

2. How and when to apply

The application process is in two stages:

- **Stage 1: Outline application**
- **Stage 2: Full application**

Applications are considered at full meetings of Trustees, which take place in March, July and November. The whole application process is likely to take about three months (or up to six months for larger grants).

Stage One: Outline application

If you are thinking of applying for a grant, the first stage is to send a written outline application. The purpose is to save the time of both applicants and the Foundation, by ensuring that only applications that have a reasonable chance of success reach the full application stage. For guidance on what to include in your outline application see Section 3 - Writing the Application.

Having considered your outline we will advise you whether the proposal is suitable for consideration by Trustees and whether there are any particular questions or issues you should consider.

To give time for consultation and discussion we allow at least five weeks between submitting your outline application and the deadline for full applications.

Stage 2: Full application

If your proposal is suitable for consideration by Trustees we will ask you to submit a full application. These are sent by the Foundation for comment to independent external referees and two months are usually allowed for this process. You will receive a decision shortly after the Trustees' meeting. Occasionally, the Trustees may refer applications back for further clarification. If Trustees approve your application, we will write to you with a formal offer. Once this has been accepted, work on the project can begin straight away.

For guidance on what to include in a full application see Section 3 - Writing the Application.

Timetable for applications 2009

March 2009 Meeting			
Outline application	7 Nov 2008	Full application	9 Jan 2009
July 2009 Meeting			
Outline application	27 Mar 2009	Full application	15 May 2009
November 2009 Meeting			
Outline application	10 Jul 2009	Full application	4 Sept 2009

3. WRITING THE APPLICATION

Please note the Foundation prefers applicants to be those directing or working directly on a project, not fundraisers or other third parties.

BEFORE applying for a grant you should read The Nuffield Foundation's TERMS AND CONDITIONS OF AWARD for Grants for Research and Innovation (Section 7) and check that these terms are acceptable to you and to the organisation that will be administering the grant.

Stage 1: Your outline application

There is no application form. The outline must be no more than three sides of A4, but you are welcome to include additional supporting information about yourself and your organisation.

Your outline application should describe:

- the issue or problem you wish to address
- the expected outcome(s) and the audience for these
- what you will do to achieve your aims; including the engagement of those to whom the outcomes of the project will be most relevant
- an outline of the methods to be employed
- an outline of the budget and the timetable (see Section 6 for budget guidelines)

Stage 2: Your full application

There is no form (apart from the one page Summary Sheet) but your application should not normally exceed 10 typed sides of A4 in a legible font size (equivalent to Times Roman 12), including the budget and details of the applicants. The pages of your application MUST be numbered. (For more advice on what to put in the application, see below). Supporting documents such as reports will not form part of the application seen by Trustees but we can send them to external referees if you wish.

The Foundation consults independent expert referees, but decisions are made by Trustees, not all of whom will have expert knowledge of the subject in question. Proposals must therefore satisfy experts of your knowledge and grasp of the subject and your chosen methodology, whilst at the same time being comprehensible to lay people.

Your full application must include the following:

- 1. Two hard copies of the Summary Sheet (see Appendix A. This can also be downloaded from the research and innovation webpage. This is a one page cover sheet that must include a 150-word summary of the project, written in non-technical language.**
- 2. Two hard copies of your full application. This should be single sided, and of good print quality. Please do NOT send bound or stapled copies. This will make it easier for us to copy.**
- 3. An electronic copy of your application.**
- 4. A statement from your institution saying that they would be prepared to administer the grant, if awarded.**

Your full application should cover the following:

Background

What is the problem that the project will tackle? What other recent or current developments are there in the field? What is new about the project? To what extent does it build on previous work by you and by others? We do not want an exhaustive review of the literature, but need reassurance that you are aware of existing work in the field.

Outcomes

What are the objectives of the project? What will be the outcomes? What are the implications for policy and practice and how will these be taken up? How timely is the project?

Methods

How will you achieve your aims? What will you do in the course of the project? What is the timetable? What methods will you apply, and why have you chosen these? For research projects, the methodology must be described in detail and the research questions clearly identified. An important criterion in judging research proposals is whether the methods chosen are sufficiently rigorous to produce clear answers to the questions you are asking.

Ethical aspects.

You should make sure that your proposal addresses relevant ethical considerations (see Section 5 - Ethical Review of Projects).

Evaluation

How will you measure the success or failure of your project? It is often helpful to distinguish between monitoring progress, which is part of the management of the project, and evaluation, which is a more formal assessment of the outcome of a project, often carried out by an independent person. Evaluation is particularly important for development projects.

Communicating outcomes

See section 4.

4. COMMUNICATING OUTCOMES

In your application

The Foundation wants to fund projects with outcomes that will be of interest and use to practitioners and policy makers. Projects usually have more impact when those who are likely to be interested in the results are engaged at the early stages, ideally with the planning of the project. So **when you apply** we will look for evidence that you have identified those to whom the outcomes of the project will be most relevant, and have thought about how you will engage them. You should indicate in the body of your application what kinds of communication activities you think will be appropriate and budget for the estimated cost of these activities.

We recognise that it is not always possible to describe this in any detail at the early stages of a project. We therefore encourage grant holders to get in touch when things are clearer, perhaps half way through the project, to discuss their plans. There are ways in which the Foundation may be able to help, for example, by calling on our own networks and contacts, by making supplementary grants to support communication activities, or simply by making our meeting rooms available for seminars and launch events.

Reporting to the Foundation

1 Final report (all projects)

As of 2008 we ask simply for a short summary report. The report is specifically for Foundation staff and Trustees. The Foundation is aware that not all projects succeed. We prefer that grant holders write an objective account of problems and failures as well as successes, rather than pretend that all went well or delay sending a report. We are particularly interested in hearing about the outcomes of projects, and the impact they may have had.

The report should be completed using the Final Summary Report Form (available at the end of this booklet, or on the Foundation web site). It should be submitted within four months of the end of the grant period. Grant holders should also send copies of any reports or publications arising from work funded by the Foundation. (See Section 7 - Terms and Conditions of Award)

2 Interim reports (for projects of more than two years)

For grants lasting more than two years, interim reports must be submitted annually. They should be no longer than two pages and should give an account of progress to date, problems and successes, and any circumstances that have led to a departure from the work specified in the original proposal.

Grant holders who do not fulfil the reporting requirements are not eligible to apply for further grants from the Foundation.

5. ETHICAL REVIEW OF PROJECTS

The Foundation requires the research it funds to be conducted in an ethical manner and therefore expects all applicants for research grants to have given serious consideration to the ethics of their projects. This is especially so where the research involves children or other vulnerable groups. Particular ethical issues raised by a research project should always be discussed in an application.

The Trustees' firm intention is that in the near future all research projects submitted to the Foundation involving human participants will be required to pass through independent ethical scrutiny. It will be the responsibility of the applicant to meet this requirement and the responsibility of the supporting institution first to make sure that appropriate provision for scrutiny is in place, and second to accept responsibility for the ethical conduct of the research.

The Trustees recognise, however, that different organisations are at different stages in developing the procedures for such review, and for the time being they are willing to adopt interim arrangements.

Where possible research projects should be considered by independent research ethics committees specifically constituted for the purpose. The Trustees expect that the larger research institutes and research active universities will already have such arrangements in place. In such cases applications should be accompanied by a signed declaration from a senior member of the organisation to the effect that such a review has happened, or will happen, and that it accepts responsibility for the ethical conduct of the research.

Where such arrangements are not yet in place the Trustees are for the time being willing to consider alternative arrangements, for example an independent advisory committee convened specifically for the purpose. The key principles are first that there should be scrutiny independent of the researchers and their close colleagues, and second that the organisation in question should accept responsibility for the ethical conduct of the research. Applicants are welcome to ask the Foundation staff for advice about their proposals.

6. BUDGET GUIDELINES

1 For applicants working in universities

In the light of the move to Full Economic Costs (FEC), the Foundation has recast its guidance on the costs it will and will not allow. The latest guidance is on the Foundation's Grants for Research and Innovation webpage.

2 For all other applicants

Your application should include an itemised budget of the costs of carrying out the work, set out separately for each year that the project will run. You should also show clearly the total amount requested from the Foundation.

If you expect your project to become self-financing once the Foundation's support has ended, you should explain how you plan to achieve this, and what steps you will take in the course of the grant to make this more likely. The Foundation does not support practical projects long term, though it recognises that it can take more than one grant to achieve long-term stability. You should discuss this issue in your application.

Please also read the guidelines below about what costs the Foundation does and does not allow. You must ensure that your application provides a clear explanation of the items for which you are seeking funding and a strong justification for any unusual requests, including consultancy fees, high salary levels etc.

Salaries

Annual staff salaries must be shown, net of National Insurance and superannuation, which should be separately itemised. If staff will not be working full-time on the project, the proportion of the time they will spend on the project should be stated. You should show salaries separately for each category of staff that will be funded. The Foundation will also meet the costs of recruiting new staff where required; details of the post to be filled should be included in the application.

The Foundation will meet increased costs arising from nationally negotiated pay awards that arise during the project and these should not be included in the budget. However, if you wish to seek funding for cost of living increases that are not part of a nationally negotiated scheme, or to meet the costs of incremental pay rises or promotions, these must be specified in the budget at the time you apply; we are unable to meet such costs if we are notified retrospectively.

Consultancy fees

The Foundation will meet reasonable costs of specialist consultants where these are necessary to the projects it funds, but subjects these costs to special scrutiny. If possible you should include full details of named consultants, together with their CVs, and the application should address why a paid consultancy is needed. If a consultant has not yet been selected, details of the job specification should be included. In either case, the number of days and the daily rate should be clearly stated.

Equipment

The Foundation will fund equipment specially required for the projects it funds. Office equipment is generally assumed to have a life-span of 3 years, and equipment on projects with a time-scale of less than 3 years will generally be eligible for part-funding only. Exceptions may be made for projects carried out in the voluntary sector.

Travel and subsistence

Give full details if travelling costs exceed £1,500. Travel costs for Advisory Groups are allowable, and an estimated cost should be included in the budget.

Survey, fieldwork or interviewing costs

Where a project includes a survey, the application must give details of the work and the costs at each stage of the work. Where the project includes a commissioned or sub-contracted survey, the application must provide an up-to-date quotation from a named organisation. On small-scale projects, where payments for interviews will be made to individuals whose salaries are not funded by the application, the number of interviews and the cost per interview should be clearly shown.

Direct administration and office expenses

In general, postage, telephone, stationery, photocopying and other direct office costs attributable to the project are allowable. Where the total of such costs exceeds £1,500 details should be given.

Communication and publication

See section 4.

Indirect costs

Trustees will consider contributing towards the reasonable indirect costs ('overheads') of voluntary organisations or independent research institutions. In these cases the indirect costs

should be expressed as a proportion of salaries, and the percentage that is used should be clearly stated. The budget should give details of the services included (accommodation, management, central services and so on).

7 Terms and conditions of award

The following are the Foundation's standard terms and conditions for grants for research and innovation. These should be read in conjunction with any written offer of a grant from the Foundation. BEFORE applying for a grant you should check that these terms are acceptable to you and to the organisation that will be administering the grant. In applying for a Nuffield Foundation grant you are deemed to have accepted the following terms and conditions.

These conditions are intended to ensure: first that grants are spent for the purpose for which they were requested; second, that the Foundation is informed promptly of any significant changes in the project being supported and permission is sought where necessary; and third that the Foundation receives a proper account of the outcomes of the project.

1. Grants must be used solely for the purposes set out in the application made to the Foundation; and subject to any further modifications required by the Foundation.
2. The grant holder will be responsible for the conduct of the work in accordance with normal standards of research practice. The host organisation is responsible for the employment of any staff associated with the grant and for their terms and conditions of employment, for providing appropriate facilities for the work, and for the financial management of the grant.
3. The host organisation must ensure that all necessary ethical committee approvals, agreements about access, animal licences and requirements of regulatory authorities and other local governance frameworks are in place before the work begins and are maintained for the duration of the grant.
4. Any financial support of the project obtained from other sources must be made known to the Foundation as soon as possible.
5. The Foundation reserves the right to withhold funding or terminate an award at its sole discretion if the grant holder or staff funded by the grant are in breach of any of the conditions of award or become unfit or unable to pursue the work funded by the grant.

Changes to the project

6. The Foundation should be informed immediately if the grant holder (or grant holders) intend to move to another institution during the course of the grant or if there is any change in the personnel working on a project who are specified in the application. Decisions about the transfer of the award rest with the Foundation. If the decision is that the grant may be transferred, the grant holder must arrange for the original institution to send a closing financial statement to the Foundation, and for the new institution to provide a statement agreeing to the Foundation's prevailing conditions of award and to administer the remaining grant. Only then will the Foundation make a new formal offer of award to the new institution for the balance remaining in the budget. This new award may be subject to different conditions to the original award.

7. The Foundation's agreement must be sought in advance before any research worker supported from a grant is registered for a higher degree or other qualification. The Foundation will not normally pay for staff to be appointed at a higher level than that approved by Trustees. Staff may be appointed at lower levels, in which case the Foundation reserves the right to decide that the balance will be retained by the Foundation.
8. The permission of the Foundation must be sought in advance where significant changes are necessary to the work that will be carried out, whether or not these are judged to be advantageous. A significant change is one that may materially alter the outcomes of the work from those suggested in the application. The Foundation reserves the right to judge if any project would be so compromised by the changes that the grant should be stopped.

Budgets and financial monitoring

9. Within the limits of the total budget, the spending under different heads must conform broadly to the original estimates in the application approved by the Trustees. If grant holders wish to make any substantial variation of expenditure (ie in excess of 20% of non staff expenditure) between heads of the budget set out in the application, they must seek the Foundation's permission before doing so. Increases or reductions in staff headcount must be specifically approved.
10. The Foundation will honour nationally or regionally agreed salary increases. Grant holders can notify the Foundation of the additional sum required once this is known.
11. 'Equipment' is defined as assets with a value in excess of £5,000. Equipment funded by a grant is donated to the host institution for the use of the project funded by the grant. The host institution is responsible for its housing, maintenance and insurance. If the project moves to another institution during the grant, the Foundation expects the equipment to move with them at the cost of the new host organisation. In cases where the equipment costs more than £5,000 and was purchased exclusively by the Foundation, it retains the right to be consulted about its disposal, and in any disputed case will have the final say. This requirement lapses on completion of the grant. Assets with a value of less than £5,000 remain the property of the institution.
12. Where a grant is paid in advance, final reports should be accompanied by a full financial statement, which relates actual expenditure to the original budget described in the award letter.
13. Where grants are not paid in advance, grant claims should be submitted quarterly in arrears. Final claims should be submitted no later than 12 months after the work has been finished.
14. At the end of the grant any outstanding balance should be returned to the Foundation. Grants balances that are not claimed within 2 years of the agreed end date of the grant will be withdrawn and the grant terminated.

Intellectual property, copyright and acknowledgement of the Foundation

15. The Foundation's support for the project must be acknowledged in any publication (written or electronic), poster, or presentation about it and in any related newspaper article, or radio or television programme.

16. The Trustees do not allow the title “Nuffield” to be attached to a post, unit or project paid for from a Nuffield Foundation grant without their prior written agreement.
17. If grant holders or their employers wish to issue press statements that mention the Foundation, the Foundation must be given an opportunity to comment on the draft. The text should acknowledge that the work has been funded by the Foundation, but that the views expressed are those of the grant holder and not those of the Foundation.
18. Where a project involves collection of original data the grant holder should liaise with an appropriate archive about deposit of the data arising from the grant. The Foundation requires all social science survey data collected in the course of a project to be deposited at an archive within a year of the completion of the grant.
19. The host institution is responsible for the identification, protection and exploitation of any intellectual property rights arising from the grant. The Foundation must be consulted about the disposal of any significant intellectual property rights of £5,000 or more, and in these cases expects to share in any income generated by intellectual property rights in proportion to its share of the full costs of the original research.
20. Where the Foundation makes a grant for the writing of a book or other scholarly work, the copyright is usually held by the author. In the case of joint funding the assignment of copyright should be agreed before a grant commences. The Foundation must be consulted about significant royalties arising (those totaling more than £5,000).

Reporting to the Foundation

21. It is to the advantage of the grant holder to keep the Foundation informed of progress of a project and particularly of important findings.
22. Projects often produce reports and publications to disseminate their results. In addition to these the Foundation requires the following reports:

- Final Summary Report (see Section 4 of the Complete Guide to Research and Innovation Grants)

The Final report should be submitted within four months of the end of the grant period, using the Final Summary report form which can be downloaded from the Foundation website. This is intended to give a brief account of the project, the main findings and an assessment of how far it has achieved its objectives.

- Interim Reports (for projects of more than two years)

For grants lasting more than two years, interim reports must be submitted annually. They should be no longer than three pages and should give an account of progress to date, problems and successes, and any circumstances that have led to a departure from the work specified in the original proposal.

23. The Foundation must be sent a copy of all publications (papers, conference papers, books, articles, monographs, reports or other material) produced by a project within 3 months of publication.
24. Grant holders who do not fulfil the reporting requirements will not be eligible to apply for further grants from the Foundation.

The Nuffield Foundation: Grants for Research and Innovation

One page summary sheet for full application

Name of applicant(s) *First name should be of applicant who will handle correspondence. In the case of joint applicants, please give full contact details on a separate sheet)*

Organisation

Address for correspondence

Telephone No.

Email address

Title and summary of project

NB The title should be short and descriptive. The summary should be written in non-technical language, and should give a clear account of what you intend to do in the course of the project. It should not exceed 150 words. The Foundation reserves the right to make public this summary in the event of an award being made.

When would you like the grant to begin?

When would you like the grant to end?

Total amount requested from the Nuffield Foundation

Have you applied, or are you applying, elsewhere for funds for the project? Please give details

*The application should be typed on A4 and should not be more than 10 sides long (including this **one page** summary sheet, CVs etc) With this application you should enclose a statement from your institution saying that they will be prepared to administer the grant.*

The Nuffield Foundation: Grants for Research and Innovation

FINAL REPORT

Name of Grant Holder

Grant Ref. No.

**Name and Address of
Administering Institution**

Project Title

Amount of Grant

Start date

Finish date

For office use only

***Note:** Please write the report so that it can be understood by the lay reader, and please do not exceed these two pages. You are free to describe your project in the way you think best, but please ensure your summary covers all the following questions, and those on the following page*

Part 1. The project

- *What was the purpose of the project?*
- *Did the project progress as planned? (Include any changes of plan, why they happened and how you dealt with them.)*
- *What were the main findings or outcomes of the project?*

Part 2 Outcomes.

- *How have you communicated these findings/outcomes, and how were they received?*
- *What impact has the project had?*
- *Is any follow up work planned or underway?*
- *In your own assessment, how successful has the project been?*

.....
Grantholder's signature

.....
Date