



Grants for Research, Development & Analysis

Guide for applicants – Oliver Bird Fund

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1. Introduction

The Nuffield Foundation is an independent charitable trust established in 1943 by William Morris, Lord Nuffield, the founder of Morris Motors. Our aim is to advance educational opportunity and social well-being across the United Kingdom. We do this by funding research, development and analysis in education, welfare and justice, and by equipping young people with skills and confidence in quantitative and scientific methods through our student programmes.

We are the founder and co-funder of the Nuffield Council on Bioethics, which examines and reports on ethical issues in biology and medicine. We have recently established the Ada Lovelace Institute, an independent research and deliberative body with a mission to ensure data and AI work for people and society.

Our Oliver Bird Fund is a restricted fund, bequeathed by Captain Oliver Bird, to invest in rheumatic disease research.

The Foundation seeks to be an open, collaborative and engaged funder that offers more than money. We are not simply an academic funding body, though the research we fund must stand up to rigorous academic scrutiny. We want the policies and institutions that affect people's well-being to be influenced by robust evidence. We will work with the research, policy and practice communities to foster an environment where that is possible.

About this guide

This guide is for applicants to our [Oliver Bird Fund](#) only. If you are considering applying for funding for research, development and analysis projects related to Education, Welfare or Justice please see our website for [guidance](#) and [application timetable](#).

In addition to this guide, please read our [Guide for grant-holders](#), which provides an overview of our requirements of grant-holders, and our [Terms and conditions](#), before submitting your application. While these documents provide detailed guidance, the Foundation is an engaged and proactive funder, and once we have screened outline ideas, we are willing and able to support promising applicants in refining and delivering projects, to help maximise their rigour and impact.

We welcome feedback from those reading and using this guide. This can be sent to oliverbird@nuffieldfoundation.org with the subject header: 'Feedback on Guide for Applicants'.

2. Oliver Bird Fund

First established in 1948, the Oliver Bird Fund was bequeathed by Captain Oliver Bird to invest in rheumatic disease research. Following extensive review and consultation with policy, practice and research communities, and after successfully supporting decades of research into rheumatic disease, including funding to support nearly 60 doctoral studentships, the Nuffield Foundation is broadening the focus of the fund beyond rheumatic disease to all musculoskeletal (MSK) conditions.

Over the next 10 years the Oliver Bird Fund will dedicate up to £12.5m on research into MSK conditions, with approximately half of that total expected to be awarded over the first five years. The broad goal for realigning the Oliver Bird Fund is, through interrelated policy, practice and research activities, to improve the lives of those living with MSK conditions, including rheumatoid diseases. More specifically, we aim to:

- Understand the causes and consequences of MSK conditions for individuals' health and social well-being across the life-course, including social and economic determinants of those with MSK conditions for active participation in society.
- Bridge biomedical and social sciences to ensure translation and implementation of evidence into practice and policy.
- Develop and enhance innovative approaches to improving the evidence through investment in data analytics and related areas (e.g., informatics).
- Progress toward a long-term (10+ years) strategy for interdisciplinary research into MSK conditions.

2.1 Need for Research on Musculoskeletal Conditions

Musculoskeletal conditions are the leading contributor to years lived with disability in the UK, with rates projected to rise over the coming years due to increases in obesity and an ageing population (Borkhoff, et al., 2011; GBD 2015 Disease and Injury Incidence and Prevalence Collaborators, 2016). In the UK, MSK conditions affect nearly 10 million adults and 12,000 children, accounting for 30% and 25% of general practitioner consultations and surgical interventions respectively. The resulting cost to the National Health Service in 2011 was £4.76 billion (NHS England, 2018).

Despite advances in healthcare technology, delivery and organisation, outcomes for many chronic conditions, including MSK conditions, are not evenly spread across society, with less advantaged and vulnerable groups having worse outcomes than their better off peers (Guillemin, Carruthers, & Li, 2014; Luong, Cleveland, Nyrop, & Callahan, 2012; Marmot, et al., 1991; Marmot, 2002). Recognition of health inequities has led to focused efforts to expand the medical model of health to include the many social, environmental and contextual aspects of life that may contribute to, mediate and moderate health and social well-being outcomes.

This shift to a 'biopsychosocial' model of health and disability calls for broadening our understanding of how disease is more than a medical condition controlled by the individual, with a need to focus on social determinants of health and how socioenvironmental context

impact health and social well-being (Pincus, Chua, & Gibson, 2016; Luong, Cleveland, Nyrop, & Callahan, 2012).

2.2 Priorities for the Oliver Bird Fund

Through the Oliver Bird Fund, the Nuffield Foundation aims to support innovative research that will lead to improvements for those living with MSK conditions. Our priority is to fund research with an interdisciplinary focus that can inform policy and practice changes to address the health and social well-being gaps for those living with MSK conditions. Improved understanding of the patient experience and of health and social well-being outcomes across the care spectrum will help identify: gaps in services; differential experiences and outcomes across vulnerable subgroups; and exemplar services for targeted scaling. A better understanding of the multitude of factors that impact health and social well-being for those living with MSK conditions will also provide a richer and more comprehensive picture across social gradients and the life course.

The Oliver Bird Fund will support interdisciplinary-led research across three programme areas:

- **Programme 1** will support research to exploit existing national-level longitudinal and administrative data on the bio/social/economic determinants and outcomes of MSK conditions through secondary analysis of existing data.
- **Programme 2** will support research to integrate and exploit local health, social care and other data sources in the UK at a local-level through funding one or more local data integration pilot sites.
- **Programme 3** will support interdisciplinary research into MSK conditions that will generate new knowledge on health and social well-being for those living with MSK conditions.

2.3 Programme areas

Applicants may address any of the three programmes in their application either as stand-alone research in one programme (e.g., secondary analysis) or any combination of research across the three programmes (e.g., secondary analysis of existing data and local data integration). All applicants will need to demonstrate data necessary to conduct the research will be available and partners and accessible and this may be in the form of a letter of support from data holders and stakeholders relevant to the successful completion of the research at or before the full application stage. In each type of project, it is essential that the approach chosen is methodologically rigorous, draws on the right range of disciplines to address the proposed questions, and is proportionate to the likely impact of the project. Further guidance on key methodological considerations is outlined later in Section 5 on *Full applications*.

Programme 1 – Secondary analysis of existing data

Concept and goals. This programme will use existing data to improve our understanding of differential outcomes across vulnerable subgroups with MSK conditions. Research in this programme may lead to identifying potential areas for further development (i.e. new data

collection), and the most promising areas for intervention to reduce health and social well-being inequities. We aim to fund secondary analysis of existing data that will exploit the existing world-class data resources in the UK in order to improve understanding of the bio/social/economic causes, consequences and outcomes for those living with MSK conditions. To do so, studies may re-purpose data resources from existing cohort studies (e.g., English Longitudinal Study of Ageing, Understanding Society, British Social Attitudes Survey, etc.), administrative datasets (e.g., Administrative Data Research Network (ADRN)), or other data resources, for example, the UK Data Service or the Secure Anonymised Information Linkage (SAIL) Databank. Applicants are encouraged to consider how secondary analysis of existing data studies will deliver research, policy and practice impacts.

Studies funded through this stream may focus on, but will not be limited to, issues such as:

- The causes and consequences of MSK on individuals' health and social well-being including social and economic determinants along with factors related to active participation in society, patient-reported outcome measures, etc.
- MSK conditions across the life course, including as measured by associations between biomarkers collected and MSK outcomes across groups in early, mid and later life.
- Multi-morbidity, such as how depression or MSK conditions accentuate one another, and how the interaction between multi-morbid conditions may lead to poorer health and social well-being outcomes (e.g., meaningful participation in society).
- Consequences for lived experience including health status, pain, participation in the labour market and wider society, etc.
- Investigation of therapies used to improve health and social wellbeing, which may include non-traditional clinical therapies.

Interdisciplinary focus and bio-social approach. The main goal with secondary analysis of existing data is to spur interdisciplinary design with approaches that tease apart the bio/social/economic causes, consequences and outcomes for those with MSK conditions. Further, innovative proposals may decide to take advantage of data from cohort studies which have collected bio-samples to improve our understanding of epigenetics and health and social well-being outcomes. All research should aim to go beyond traditional health outcomes to incorporate a truly biopsychosocial model of health and social well-being.

Data access. Proposals should demonstrate ready access to data resources identified in applications. Applicants are encouraged to consider whether the use of a single data set will answer the proposed research questions or if multiple data sets will need to be combined to provide adequate robustness to answer the proposed research questions.

Programme 2 – Local data integration pilots

Concept and goals. Our primary objective is to support research in creating new knowledge from available data resources, including research on integrating data and identification of new data needed improve our understanding of those living with MSK conditions. Our secondary objectives are to develop and apply research methods for integrating structured and unstructured health, social care and other data sources in local/regional areas.

Local data integration pilot site(s) will test the feasibility of local data integration, identify gaps in existing data sources and create new knowledge of health outcomes and experiences across the health and social care continuum for people living with MSK conditions. They will also identify mechanisms that would allow wider or national adoption of data integration and research approaches successfully developed in pilot sites. While these programmes may develop new data platforms and analytical services, proposals may need to leverage existing platforms and data.

We are particularly interested in implementation science approaches to improve our understanding of those with MSK conditions. Proposals may include research to improve our understanding of how to build existing knowledge to address the deficiency of useable MSK data included in, and drawn from, primary, community care and other datasets. Research may include integrating disparate datasets which feed into new or existing clinical decision support tools to support near-real time use of integrated MSK data in practice. Research may also include mixed-methods research to understand how to best integrate and use health, social care and other MSK-related data in practice settings to improve service delivery and outcomes for those living with MSK conditions.

Interdisciplinary focus and structure. Pilot sites are likely to be led by interdisciplinary biomedical-social science teams with quantitative and qualitative expertise. Site(s) should develop a portfolio of policy and practice relevant research studies alongside data integration activities to generate knowledge about, and to better understand, people living with MSK conditions. For example, research may focus on understanding differential outcomes across care pathways and services gleaned through the integration of health data (e.g., linked primary, secondary and hospital episode data) with social care and other data sources such as patient reported outcome measures. Local data integration pilot sites are likely to require expertise in informatics and 'big data' to understand interoperability, integration and exploitation issues. However, these activities should not be the sole focus of pilot sites.

Criteria for pilot sites. Researchers are expected to demonstrate how their programme will:

- Build on existing expertise across biomedical and social sciences to construct (or enhance existing) integrated databases from local health, social care and other data sources, including administrative data.
- Exploit integrated datasets to develop a fuller picture of how those living with MSK conditions experience care and services across health and social care settings.
- Detail how databases will be optimised for future use and how data feedback loops between research and practice will enhance activities in both domains.
- Demonstrate clear reasoning for which data sources will be used in each research project in relation to the overall aims of individual pilot programmes.
- Leverage existing resources to build on existing data infrastructure and local relationships between clinicians, commissioners and researchers.
- Develop and sustain mutually beneficial collaborative partnerships across research-practice-policy areas, working across institutions.
- Ensure adequate safeguards to protect the confidentiality of individuals and compliance with data protection regulations.

Programme 3 - Responsive research on MSK conditions

We are also inviting applications for research into MSK conditions that may not fit within programmes 1 or 2. While the nature of research submitted to programme 3 is at the discretion of applicants, proposals will be particularly welcome which: are interdisciplinary in nature; seek to improve our understanding of those living with MSK conditions, particularly differential causes, consequences, experiences and outcomes for vulnerable subgroups; identify gaps in knowledge to reduce health and social well-being disparities; and point to future areas of investment to help narrow the gaps in health and social well-being outcomes.

This may be done, for instance, by investigating any number of the multidimensional factors impacting health and social well-being for those living with MSK conditions through use of innovative frameworks such as PROGRESS-Plus to guide research approaches and lead to 'unlocking' the black box of differential causes, consequences and experiences of subgroups across society living with MSK conditions (Borkhoff, et al., 2011) (Guillemin, Carruthers, & Li, 2014) (Welch, et al., 2013) (Tugwell, et al., 2008) (Welch, et al., 2012).

Research proposals addressing programme 3 should consider the utility of the research beyond the lifecycle of the study such as collecting data in a manner to enable data to be re-used for future research.

2.4 Size and duration of grants

Nuffield Foundation research, development and analysis grants normally range in size from £10,000 to £500,000, with most lying between £50,000 and £300,000.

The Oliver Bird Fund will support research across the three programmes as detailed below.

Programme 1 – The size and scope of research proposals submitted to this stream is at the discretion of applicants. We anticipate proposals will be similar in scope and scale to other similar initiatives (e.g., the ESRC's Secondary Data Analysis Initiative Programme). Studies lasting two years or longer are anticipated to be particularly ambitious in scope (e.g., secondary analysis of very large datasets or integration and analysis of multiple large datasets).

Programme 2 – The size and scope of research proposals submitted to this stream is at the discretion of applicants. We anticipate local data integration pilots will have a heavy emphasis on producing new knowledge from research on integrated data. We anticipate applicants will outline design data integration pilots with embedded research streams in their applications. Such efforts may require a mixture of core infrastructure and research funding. However, the emphasis should be on producing new knowledge from research and this should be reflected in budgetary requests.

It is expected local data integration pilots will take no longer than five years. By their nature, awards are expected to be larger than typical Nuffield Foundation research grants: we are not setting a maximum budgetary ceiling for individual grant applications and encourage

ambitious applications. Nevertheless, in defining scope and budgets, applicants are asked to note the overall funding available (approximately half of £12.5m over the first five years) and our intention to use that funding for several pilots under Programme 2 as well as a number of projects under Programmes 1 and 3. *It is anticipated that programme 2 will be funded in partnership with [Versus Arthritis](#).*

Programme 3 – The size and scope of research proposals submitted to this stream is at the discretion of applicants.

Applicants may submit grant applications which tackle the goals of any number of the three programmes. As such, we anticipate combined proposals addressing multiple programme areas may be larger than applications addressing a single programme area. All applications should be strongly justified in terms of team, budget and scope.

Please contact oliverbird@nuffieldfoundation.org with any questions.

2.5 Eligibility

We have few hard and fast rules about eligibility but offer the following guidance in response to the most frequently asked questions we receive:

The best way to get a clear answer to your question is to submit an outline.

The outline process is specifically designed as a mechanism for you to test out your ideas with us. It is often hard for us to offer steers without the level of detail requested in an *Outline application*, although we will, as far as possible, respond to questions about general inquiries about the three programme areas and application process sent to oliverbird@nuffieldfoundation.org. We will not provide review or comment on research approach, design, methodology, or other related areas. Such feedback may be received after receipt and review of outline applications and/or full applications.

Non-UK applications

In general, we award grants to a wide range of organisations including, but not confined to, universities based in the UK and for projects focused on the UK context. However, we do welcome applications from UK-based organisations to carry out collaborative projects involving overseas partners (and/or exploiting data relating to other countries), for example where:

- These provide useful comparators for UK experience in areas of substantive interest to the Oliver Bird Fund.
- There are UK lessons to be learned from international experiences, including policy or practice overseas that might be adapted for the UK.

In exceptional circumstances, we might consider an application from an overseas organisation along the lines of the above where there is no workable arrangement whereby a UK-based organisation can host the grant. In these cases, the applicant must convince us

that there are adequate arrangements for dissemination, engagement and impact in the UK context.

Other funders

Unless we give special permission, we will not accept applications for projects that are being considered by another funder at the same time. We are unlikely to fund proposals that have been unsuccessful elsewhere unless the project is truly outstanding and central to the Oliver Bird Fund programme areas. Although the Foundation does not contribute to general appeals for pooled funding, in some circumstances we will consider partnership funding. Where applicants wish to propose a partnership funding model, we would expect applicants to argue the case for such an approach within their *Outline application*. Further guidance is given in Section 4.1 below.

Multiple proposals

Where applicants wish to seek funding for more than one project, we are willing to consider more than one *Outline application* from the same organisation. However, applicants should bear in mind that it is unlikely that we would shortlist more than one *Outline application* from a single PI within a given funding round.

Exclusions

We have a small number of specific categories of work that are not eligible for funding from our research, development and analysis calls:

- Individuals without a formal employment or other relationship with the institution hosting the grant.
- Projects led by individuals unaffiliated to any particular organisation.
- Projects led by schools or further education colleges.
- Projects led by undergraduates or Masters students.
- PhD fees or projects where the main purpose is to support a PhD.
- The establishment of academic posts.
- Ongoing costs or the costs of 'rolling out' existing work or services.
- 'Dissemination-only' projects, including campaigning work, which are not connected to our funded work.
- Local charities, replacement for statutory funding, or local social services or social welfare provision.
- Requests for financial help or educational fees from or on behalf of individuals.

3. Overview: the application process and what we look for

The Nuffield Foundation seeks to be a flexible and engaged funder that offers more than money. We anticipate a high interest in the Oliver Bird Foundation funding opportunity. The relaunching of this fund is a new venture for the Nuffield Foundation, and as such all timings provided at this stage are subject to change depending on factors including the volume and

nature of applications received. However, deadlines for submitting applications discussed below must be met unless alternative timings are published on our website.

To help manage demand, while offering a personal approach to those with the most promising ideas, we have designed a bespoke, phased process with **THREE** key stages. The **first stage** is to submit an 'Intent to Submit' document (see Appendix B), providing limited key information on programme area(s) to be addressed in the outline application, investigators, organisation(s), proposed project title and a very brief project summary. We ask that all **Intent to Submit documents are received by 17:00 on 10 January 2019 as it will be helpful for planning purposes and helping stage 2 to run to the planned timetable. Applicants who do not submit an Intent to Submit document will not be excluded from submitting an outline application.**

The **second stage** is an *Outline application*, comprised of a short form where applicants can briefly lay out their proposal. Each *Outline application* is screened by one or more members of our grants team, all of whom are experienced in conducting and managing research in policy and practice settings. We consider the following factors:

- **Relevance** - an interesting question/issue that fits the Oliver Bird Fund's programme areas. There should be a clear articulation of what you intend to do, why it matters, and what difference it will make.
- **Rigour** - for analysis and drawing conclusions as well as design/data collection. Methods need to be right for the question(s) and must be convincingly demonstrated in outline applications.
- **Engagement** - with policy and practice, as well as public dissemination through the media and other channels. Engagement needs to be end-to-end, not just at dissemination stage.
- **Impact** - explanation of the potential for impact: clarity of outputs and outcomes and the relationship between the two.
- **Resources** – strong, interdisciplinary team and appropriate budget.

This *Outline* process provides a fair way to offer all potential applicants the opportunity to test out their ideas with the Foundation. A subset of *Outline* applicants will be invited to submit a *Full Application (stage 3)*, which will be peer reviewed before being assessed by Nuffield Foundation Trustees.

Having assessed a *Full Application*, Trustees may decide to offer a grant, or to request further clarification or specific conditions before awarding a grant, or they may decide not to award a grant. The whole process will be approximately seven months. The flowchart below provides an overview of the application process. Potential applicants should refer to the Oliver Bird Fund section of our website for the latest deadlines. Applicants should note that the start date for any project should be at least two months after the month of the Trustees' decisions. You will be informed of the likely decision date by the grants team.

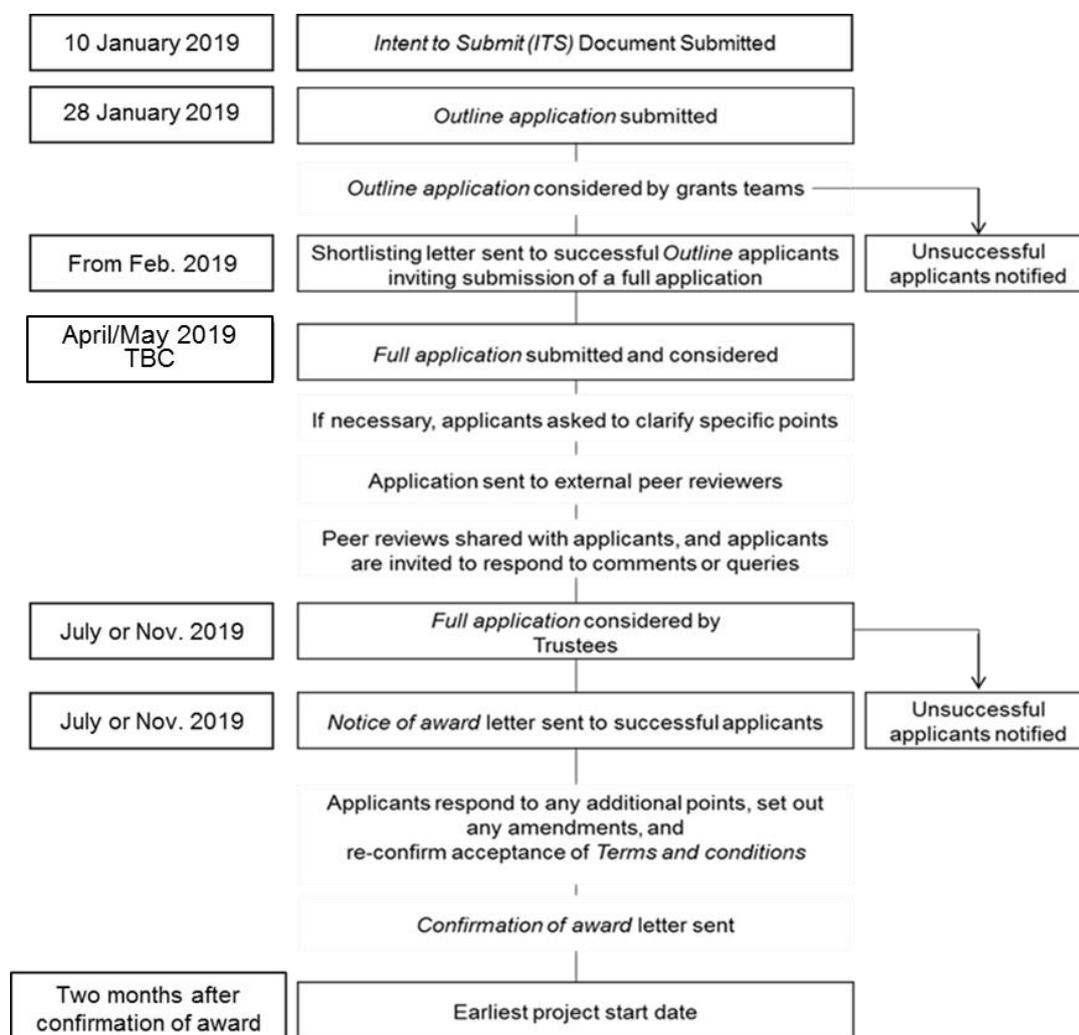
All proposed projects must be led by a named Principal Investigator (PI), who is the lead applicant. The PI must take overall responsibility for the application and be the main point of contact with the Foundation throughout the application process and for the duration of any

subsequent grant period. We award grants to organisations (the ‘host institution’) rather than individuals, and the PI must be based at the host institution. Individuals who will assist the PI in the management and leadership of the project may be named as co-investigators. We expect the roles of each co-investigator to be clearly defined and the total number to be commensurate with the proposed research.

Before applying, applicants should:

- Read this guide in its entirety.
- Check that our [Terms and conditions](#) are acceptable, both to themselves and to the host institution. It is the PI’s responsibility to identify any potential difficulties in complying with the *Terms and conditions* at the *Outline application* stage.
- Visit the [Oliver Bird Fund](#) section of our website to check application dates.

Application process overview chart – Key Dates



***note the above is an anticipated timetable, which may be subject to change.**

4. Outline applications

Your *Outline application* needs to provide a clear, concise and compelling account of your proposal, why it is needed and the impact it is expected to achieve. The *Outline* must demonstrate that the project fits within the Oliver Bird Fund's programme areas, clearly articulate the aims and objectives and demonstrate that the approach, methodology and activities are well-considered, fit for purpose and appropriately resourced (staff, time and costs).

Your *Outline application* must stand alone to make your case, without any need for the reviewers to undertake further research or to follow up the bibliographic references to judge the application.

It is important that you follow the guidance here to enable reviewers to judge your application on its merits. A subset of *Outline applications* will be shortlisted to proceed to a *Full application* and we will offer constructive advice and support to those shortlisted to help them put their best foot forward when Trustees make decisions about their proposals.

Due to the large number of *Outline applications* we expect to receive, we are only able to respond to general inquiries prior to the submission of an outline. We will not be able to provide specific feedback on unsuccessful *Outline applications*.

4.1 *Outline application form*

- There is an Oliver Bird Fund specific outline application form which should be downloaded from [our website](#). You **must** use this to submit your application.
- You **must** follow the guidance on the *Outline application* form on word count and page length.
- It **must** be written in Arial, font size 11pt.
- Your *Outline application* should consist of **one file** only.
- Please submit the application in **Word** format. If this is not possible, you may submit a text searchable PDF.

You may use bullet/numbered points, tables or other diagrammatic representations where this helps you to set out your application in a structured and logical way.

On the *Outline application*, you must state if you are applying or have applied for funds for your project elsewhere. We will judge your application on its merits but reserve the right to contact the relevant person at the other funding organisation(s) for information. Where applicants wish to propose a partnership funding model, we would expect them to argue the case for such an approach within their *Outline application*. This should provide the name and contact details of the proposed co-funder and set out the reasons for considering a partnership funding model so that we can take this into consideration when reviewing your application. We would usually expect to contact the proposed co-funder to discuss the feasibility of co-funding prior to a funding decision being made by the Foundation's Trustees.

In each section of the application form there is guidance on the types of questions you should answer in completing the section. The sections also indicate how much detail you should provide. You should aim for a balance that is sufficient for Foundation staff and Trustees to assess the importance, value and rigour of your proposal. Some further guidance is below.

A key section of your *Outline application* is **Methods, approach and activities** (Section C). The purpose of this section is to set out the work you will undertake to achieve the aims and objectives to address the research questions. It must demonstrate that the proposed design is fit for purpose, the project is feasible and that a high-quality project will be delivered. We do not require the full details but need enough information to make these judgements.

For **research and analysis** applications, we need to see:

- An account of whether your approach is designed to be exploratory, to provide a robust descriptive account, or to infer/understand causality (or a combination of these).
- Clarity on both the population of interest and the unit of analysis; a definition of who will be included in the study and explanation of why; an assessment of whether some important groups will be excluded, the reasons for this, and the impact upon the study.
- A description of the research methods proposed, whether primary research or secondary, and a rationale for why these have been proposed. Details of the approach to data collection or analysis as relevant. For each approach, you should provide enough information for the reviewer to assess its scientific rigour. For example, you may need to cover:
 - For any form of sampling - information on the proposed sampling method, planned issued and achieved sample sizes, and issues of bias to be considered.
 - For quantitative analysis – an assessment of whether the sample sizes are big enough to test the key relationships with sufficient confidence, including subgroup analysis.
 - For qualitative work – how the sampling strategy will ensure an appropriate range of individuals and experiences are covered, and the approach to analysis.

For the **Timetable** (Section F) and **Budget** (Section G), we do not expect a detailed timetable or budget breakdown in the *Outline application*. However, we do need:

- To be given enough information to help us judge whether the overall timeframe, and sequencing of key stages in the project, fits with its aims, objectives, and approach.
- An estimated budget that indicates the split between salary costs, including on-costs, estate costs and other direct costs (e.g. for data collection) and complies with our *Budget guidelines* (see Appendix B).

In considering your timetable, please take into consideration the requirements of the Foundation that grant-holders publish a freely available *Main public report*, which serves as

a concise and accessible account of the project, drawing out key findings and recommendations. This report must be published and disseminated **before** the end of grant date.

It is not necessary to include any additional information to that requested in the application form, except in circumstances where a letter of support from a key stakeholder who will need to provide access to data is pivotal to the conduct of your research study, which can be provided at either the outline or full application stage. Additional information must not exceed **one side** in total.

For shortlisted applications, we understand that the budget, timetable and some other aspects of your proposal may be refined between *Outline* and *Full application* stage, and indeed the feedback we provide on shortlisting may well prompt some of these changes.

4.2 How to submit your *Outline application*

You should submit one electronic copy by e-mail to outlines@nuffieldfoundation.org. Please include the name of the PI in the subject line of the email. Please check that your application form is compliant with our requirements in Section 4.1 before submitting. We reserve the right not to review applications that fail to meet these requirements.

4.3 What happens next?

Research professionals in our grants team (Programme Heads and Directors) are experienced in undertaking, commissioning or managing empirical social science research, to inform policy and practice. They review every eligible *Outline application*, and may consult Trustees or other key stakeholders (e.g., Versus Arthritis). *Outline applications* are judged against our criteria and in comparison with the large number of other applications we may receive. Therefore, even if your *Outline application* meets our formal criteria, there is no guarantee it will be shortlisted to proceed to a *Full application*.

We let each applicant know in writing whether they have been shortlisted to submit a *Full Application*. Our call is expected to be extremely competitive and we will shortlist a subset of proposals so that we provide the right advice and support at the next stage. We therefore will focus our feedback on those outlines that have been shortlisted, and potentially a few that are promising but would need further work before being ready to shortlist.

The date by which we aim to inform all applicants of our decision is set out on the Oliver Bird Fund section of our website. If you do not hear back by the specified date, you should contact outlines@nuffieldfoundation.org.

If your application is shortlisted, our letter will set out any comments and questions raised by staff and Trustees in the shortlisting process. These must be addressed in the *Full application*. The date by which you must submit your *Full application* will be provided in your letter.

December 2018

We aim to ensure that applicants have at least six weeks to prepare their *Full application*. Unless we agree an alternative timescale with you, if we do not receive your *Full application*, we will consider your application withdrawn.

We may request a discussion with shortlisted applicants to help them fully consider our feedback. Shortlisted applicants may also request a discussion with Foundation staff if they want clarification on any feedback in the letter.

We do not provide substantive feedback on unsuccessful *Outline applications* or accept resubmissions of the same *Outline*.

5. Full applications

Your *Full application* should be a detailed exposition that is clear both to peer reviewers and Trustees, not all of whom will be expert in the area. It needs to be a standalone, comprehensive document that fully demonstrates why your project is important and that your approach will deliver a high quality and impactful project.

Applicants should read our [Terms and conditions](#) before submitting their *Full application*. Your host institution must accept these *Terms and conditions* in principle when you submit your *Full application*. If your application is successful, your host institution will be asked to formally accept the *Terms and conditions*.

You should also read the [Guide for grant-holders](#), as this sets out in detail our expectations of successful applicants.

5.1 Full application form

- There is an Oliver Bird Fund full application form, which you should download from <http://www.nuffieldfoundation.org/OBF> You **must** use this to submit your *Full application*.
- You should follow the guidance on the *Full application* form on word count and page length. Although we do allow some flexibility for the individual sections, your application form **must not** exceed 15 pages in total (excluding CVs).
- It **must** be written in Arial, font size 11pt.
- Please submit the application in **Word** format. If this is not possible, you may submit a text searchable PDF.
- Your budget must be submitted in an excel spreadsheet, following the guidelines noted in Appendix A.

It is not necessary to include any additional information to that requested in the application form, except in circumstances where a letter of support from a key stakeholder who will need to provide access to data is pivotal to the conduct of your research study and has not been provided at the outline application stage. Additional information must not exceed **one side** in total.

When necessary, you may also include a short technical appendix (e.g. with details of econometric or statistical modelling). This should not exceed three A4 sides. This is in addition to the page limit cited above.

The application has standard sections you must complete. The form gives an indication of maximum length for each section, but we recognise that different projects require different approaches and so there is flexibility within sections (although the overall application should be no longer than **15 pages** – excluding CVs and technical appendix).

Your application must be sufficiently detailed to satisfy experts of your knowledge and grasp of the subject and why it is important, and the appropriateness of your chosen methods, approach and activities, while at the same time being comprehensible to lay people. It should build on your *Outline application*, providing fuller information and considering the feedback received from the Foundation. It is particularly important that your *Full application* follows through on your intended outcomes, and what activities you will undertake to deliver these.

In particular, at *Full application* stage we expect:

A much fuller and more detailed account of your proposed **methods, approach and activities** (Section C). This should be the most substantial and detailed part of your application, comprising of a presentation of your proposed activities and how they will achieve the aims of the project. You must provide a comprehensive description of the methodology for both qualitative and quantitative approaches, and articulate their elements with reference to the research questions. We need to know the methods of data collection and analysis you plan to use and your rationale for choosing them. We will be looking closely at whether the methods chosen are appropriate and sufficiently rigorous to address the questions you are asking, and whether the project is feasible. You may wish to submit a separate technical appendix for quantitative analysis plans.

Where a project includes **primary data collection (e.g., proposals to programme 2 or programme 3)**, you must supply full details of the rationale for the sampling strategy. This should include a clear description of the population of interest, and how you will select and recruit the sample and any sub-groups within it. We expect a full account of the theoretical, technical and practical issues that have influenced your selected methodology/approach.

If the project involves **quantitative data collection**, you should provide information about sample sizes for primary and secondary outcomes, along with appropriate power calculations, and how you will account for expected attrition. Where the project involves a survey, you must provide details of the approach to implementation, and demonstrate an understanding of the practical implementation challenges as well as statistical theory. For electronic data, you need to state the nature of and form of the data and databases, identify issues of data quality and consistency and set out how the data will be collected and manipulated to be in a useable form for analysis.

If this involves **qualitative data collection**, you should clearly set out the approach you are suggesting for each group (e.g. one to one in-depth interviews, focus groups, deliberation) and identify any specific tools or interviewing techniques you intend to deploy to elicit quality

data. You should also set out the approach you intend to take for the analysis and presentation of findings.

You should set out whether you plan to deposit data at an appropriate archive to ensure data is available for future research. You should explain:

- For primary data collection, what you will say to participants about how their data will be used, including any statements about anonymised data.
- How data will be anonymised, which data archive will be used or, if an archive is not appropriate, what other arrangements will be made to enable other researchers to access your data.
- The timescale for the deposit, which should be within one year of grant completion.

You should provide justification if you do not think it is appropriate to deposit the data for future use. Any costs related to preparing data for archiving should be included in your budget.

Where you propose **secondary analysis of existing data (programme 1)** – surveys, administrative data or other sources – you must explain how the source is appropriate to addressing the aims and objectives of the project, how you will obtain access to the data source, how you will integrate the data as appropriate, and what further manipulation of the data may be necessary to make it fit for purpose. You should also include an analysis plan.

In the *Full application* you must also more fully elaborate on the intended **Outcomes, outputs and dissemination** (Section F) activities designed to support this. You should outline the key mechanisms you will use, such as conferences, seminars, meetings with senior policy makers, or the production of online communications or publications aimed at wider audiences. This will form the basis of the *Communications plan* for the project, should it be funded. We view research reports, briefing papers, other publications, seminars and other events as outputs. These may or may not lead to policy or practical change (outcomes). While we welcome the production of academic journal articles, these are not usually the primary outputs of the projects we fund. All research should produce **at least one report aimed at as broad an audience as possible and which is freely and publicly available**. We recommend that you read the [Guide for grant-holders](#) as this sets out in detail our expectations.

You must also provide details of your plans for engaging with **experts and key stakeholders** (Section E) during the project to support the delivery of a high quality and impactful project. You should make sure that your costs consider this engagement and delivering against the *Communications plan*. The [Guide for grant-holders](#) provides full details of our expectations.

The *Full application* also requests details to assure us that the **Legal and ethical aspects** (Section H) of the project have been fully considered and that there is an appropriate ethical clearance procedure in place before the project commences. Projects that involve direct contact with participants ('primary research') are required to pass through independent ethical scrutiny. It is the PI's responsibility to meet this requirement, and the responsibility of the host institution to:

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- Ensure appropriate provision for scrutiny is in place; and
- Accept responsibility for the ethical conduct of the research.

We expect larger research institutes and universities to have standard procedures in place for ethical scrutiny. Where there are no such procedures, we are willing to consider alternative arrangements, for example an independent advisory committee convened specifically for the purpose or use of a scrutiny committee from another institution.

At *Full application* stage we **require a detailed timetabled project plan** (Section J) that sets out the various work streams across the months of the project and includes when you would propose to deliver the various requirements of the grant (see [Guide for grant-holders](#) for full details). You may wish to present this in Gantt chart form for ease.

Similarly, we require **full budget information set out in an excel spreadsheet** (Section K). Refer to Appendix A for full details of eligible costs and how to present your budget. You must justify the resources requested in your *Full application* form.

We need to be confident that the proposed **Staff** (Section D) have the necessary expertise to conduct the project proposed. You must therefore provide the information required to make this assessment in the appropriate part of the application form and by including short CVs that focus on the skills and experience of the individual relevant to delivering this project.

We are keen that applications include interdisciplinary teams that share and develop their expertise. Demonstrating this in your proposal will be considered favourably by the Foundation.

The Nuffield Foundation has recently launched a programme to support **CARA**, the Council for At-Risk Academics, in its work with academics in the Middle East and Turkey whose research has been interrupted or who have been forced to leave their home country, due to civic disruption or war. We have set aside resources to contribute to the salary costs of three or four projects each calendar year which may involve CARA-identified academics. We will only consider requests for CARA academics at the *Full application* stage – i.e. on projects where we have already signalled our interest in response to an outline, and independent of the proposed involvement of a CARA academic.

Any project which passes the *Outline application* phase can be considered for supplementary funding for such a post. The maximum Nuffield contribution for each academic will be £25,000. If you wish to include funding for a CARA academic on your application, you should:

- Ensure your institutional support letter explicitly states that this has been agreed.
- Set out the skills and experience of the CARA academic, their suitability for working on the project, and the role envisaged.
- Set out how the project would proceed with and without the proposed CARA academic. This is because funding for this scheme is limited, and we may wish to fund your project even if we are not able to support the proposed CARA academic.

- Provide a separate budget line setting out the costs of the CARA academic (please see Appendix A for further details about Budget guidelines and how to record this)
- Applicants should note that CARA expects the host institution to contribute in kind to the support of the academic.

All information provided about CARA academics will be shared with peer reviewers, but the purpose will be to seek confirmation that the inclusion of the post will not be to the detriment of the project.

5.2 How to submit your *Full application*

You should submit one electronic copy by email to the appropriate Grant Administrator (named on your shortlisting letter) by the deadline you are given. It is not necessary to submit a hard copy. Please ensure your *Full application* meets the requirements set out in Section 5.1.

Please note that we cannot accept any revisions to your application after it has been submitted, unless in exceptional circumstances.

5.3 What happens next?

Following receipt of the *Full application*, the grants team will assess whether the application is in line with expectations, including whether it addresses sufficiently any earlier feedback. If we feel it is, the Programme Head or Director will take responsibility to ensure that we have all the information we need to enable Trustees to make an informed decision. The usual process is to share the *Full application*, including budget, with a range of peer reviewers (from the research community, policy and practice where appropriate). We often seek comments from international reviewers.

We ask peer reviewers to consider: whether the project will be useful; whether the approach is appropriate and feasible; whether the staffing is suitable; the overall value for money of the application; whether the amount of funded time sought is reasonable; and whether the dissemination and stakeholder engagement plan is sufficiently comprehensive to deliver impact and outcomes.

The Programme Head will then share anonymised comments with the applicant alongside any questions or concerns arising from the application and offer the applicant the opportunity to respond or to resubmit the application where further work may be needed.

Trustees are sent a copy of the *Full application*, the peer review comments and the applicant's response to inform their decision. Most applications are considered by all Trustees, who may decide to offer a grant, request further clarification or specific conditions before awarding a grant, or not to award a grant. Applicants are informed of the outcome as soon as possible following the Trustees' decision.

6. Stage 3: Finalising the award

6.1 Outcome letters

You will receive a letter confirming the Trustees' decision regarding your application.

If you are unsuccessful, your *Rejection letter* will set out issues raised by Trustees. Unsuccessful applications may not be re-submitted, unless you are specifically invited to do so. Invitations to revise and resubmit applications are rare and will usually be accompanied by specific feedback on ways in which the project may be amended.

If Trustees decide to take forward an application, you will be sent a *Notice of award* letter. **The grant has not been confirmed at this stage.** The *Notice of award* will include feedback from Trustees and details of any further requirements or issues on which the Foundation's staff need to be satisfied before a grant is confirmed. Occasionally, the *Notice of award* letter will identify specific *Trustee conditions*. Satisfying these conditions is fundamental to a decision to award, and they must be signed off by Trustees before the grant can be released.

6.2 Response to outcome letters

In your reply to the *Notice of award* letter, you must set out any proposed amendments to the project, especially where these are required in response to *Trustee conditions*. You should confirm the start and end dates, the project budget breakdown, the dates for delivering the requirements (*Interim reports*, *Communications plan*, and *Main public report*), and accept the latest [Terms and conditions](#). We do not usually expect amendments to the budget at this stage, and significant budget changes will require Trustee approval.

If there have been substantial changes to your project across the process, we may require you to incorporate these into an updated project plan or application form so that there is a single agreed record of what has been agreed.

We are happy to provide advice before you send your response letter, for example if there is more than one option for addressing feedback, or if you anticipate timing difficulties.

6.3 Confirmation of award

A *Confirmation of award* letter will be sent to confirm the final details of the grant (e.g. budget, start and end dates, duration, reporting requirements and agreed *Terms and conditions*). **It is only once this letter has been issued that the grant is confirmed, and the details can be made public.** We cannot fund any work that takes place before the start date of the grant, so if any expenditure is likely to be incurred before then, this should be discussed with us in advance.

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It usually takes around three weeks between receiving your formal response letter and sending the formal *Confirmation of award* letter. We aim to issue a *Confirmation of award* letter within two months of issuing a *Notice of award*, but the length of time varies depending on the nature and scale of feedback, whether *Trustee conditions* have been set, and of course how long it takes the applicant to respond to the outcome letter. While the Foundation endeavours to be flexible where there are legitimate difficulties in providing all the information needed in response to a *Notice of award* letter, it reserves the right to withdraw an *in principle* offer if it is not possible to confirm the award within six months of issuing the *Notice of award*.

At this stage, it is important that you read our [Guide for grant-holders](#), which sets out our typical approach to managing grants, including invoicing, grant outputs, acknowledging the Foundation, and reporting requirements.

Appendix A: Intent to Submit Form

Intent to Submit - Oliver Bird Fund

Text in italics is for guidance only and may be deleted.

Submit to: outlines@nuffieldfoundation.org

Please submit by 17:00 10 January 2019



Main focus of your project: <i>(Please select one only, unless your project genuinely cuts across more than one programme area.)</i>		<input type="checkbox"/> Programme 1 – Secondary Analysis <input type="checkbox"/> Programme 2 – Local Data Integration <input type="checkbox"/> Programme 3 – Responsive Mode Application <input type="checkbox"/> Combined Application <i>(See section 2.3 of the Oliver Bird Fund Guide for applicants.)</i>			
Name of Principal Investigator (PI) (including title):		<i>Please nominate one PI only. (See section 3 of the Oliver Bird Fund Guide for applicants.)</i>			
PI's position / job title:					
PI's email address:		<i>(This should be the PI's direct email address.)</i>			
Organisation name and address:					
Co-investigators: <i>(Please add details below if applicable. You may add or delete rows as necessary. We recognise the research team may change between Intent to Submit and submission of an Outline Application.)</i>					
Title	Name	Email address	Organisation	Department	Position/ job title
Project title:		<i>(This should be short and descriptive, and may be changed when submitting an outline application)</i>			

Project summary: *Please provide a short, preliminary summary of your project in no more than 200 words. We recognise the exact nature of your project may change between Intent to Submit and submission of an Outline Application.*

Your personal data

We will only use your data for the purposes and in the ways set out below. For more details of our principles when dealing with personal data, see our [Privacy Policy](#).

What we do with your data

We will use the data submitted on this form to process and make a decision on your application. As part of this review process, we may share your personal data with individuals outside the Foundation. This will always be on a confidential basis and we will ensure that your data is kept secure. We may also share your data with our partner organisation, Versus Arthritis, for the purpose of assessing your application.

If we decide to award a grant we will use the personal data submitted as part of your application for our grant management processes. These may include sharing progress and other reports with Versus Arthritis and with the advisory group for the programme. We will include the name of the principal and co-investigators (if applicable) in lists of our grant holders and in summaries of funded projects published online and in hard copy. In addition to data processing for grant management, we will also use your data in ongoing monitoring and evaluation of our grant activities and impact assessment work.

Retention of your data

The data on the grants we award form part of the historical records of the Foundation. As an organisation with a strong interest in impact and trends over the long term, we need to retain our application and grant records on a similarly long-term basis. However, if we decide not to award you a grant, the details of your application will be anonymised after six years.

Declaration/Signature

I declare that this application form has been completed by **[NAME]**, and with the knowledge and agreement of all co-investigators and other staff named on this application. I have read the *Guide for applicants* and believe that this application meets the eligibility criteria for funding.

Name:

Date Completed:

Appendix B: *Budget Guidelines*

The following points set out our approach to assessing your budget and to financial monitoring:

- Before submitting your application, you must check that the budget is correct and the sums add up. Applications with an incorrect budget may be returned or may have to wait until the next round for consideration.
- Our grant funding is outside the scope of VAT, as it is not a business activity for private benefit. Where applicants are contemplating working with others for substantial parts of the grant, we expect them to consider whether it is feasible to include them as co-applicants or collaborators, rather than as providers of a service which might make them liable for VAT. Any VAT that is expected to be payable must be set out within the budget submitted as part of *Full applications*.
- We fund 100% of eligible costs, not the 80% funded by Research Councils. Where we make an award to a Higher Education Institution (HEI), we will meet all 'directly incurred' costs, subject to certain conditions, and most 'directly allocated' costs (except the estates costs of PIs and permanent university staff). We do not fund 'indirect' costs. Guidance about these terms should be sought from university research administration staff.
- Your budget should not include 'contingency' funds. If unforeseen events arise or new activities (such as dissemination activities) are agreed, we can consider a request for a supplementary grant.
- PhD students can work on grants to undertake specific tasks, provided this is explicitly requested and justified in the application (or as a change to the project). We will fund the PhD student's time and reasonable costs. We will **not** fund PhD fees. Where the work a PhD student undertakes will contribute to their PhD, the host institution, rather than the Foundation, is responsible for ensuring appropriate progress towards the PhD is made, and for recruiting alternative staff if the project is delayed.

The following points apply only to *Full applications*, not *Outline applications*:

- You must submit a detailed budget breakdown with your *Full application* form. Your budget should set out, separately for each year the project will run, the costs of carrying out the work and the total amount requested.
- Your *Full application* must include an explanation for the items for which you are seeking funding and a clear justification for the resources requested.

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- Please note that peer reviewers are asked to comment on the overall value for money of the application and whether the amount of funded time sought is reasonable given the requirements of the project, i.e. that it is neither too high nor too low. We are as keen to ensure we support enough time, including senior time, as we are to ensure efficiency.
- Very occasionally *Full applications* present optional 'extras' or different ways of undertaking the same project. For the most part, we expect the *Full application* to make a case for a single method of proceeding, but where this is not possible, for example because of factors that cannot be clarified at the time of application, you should set out the costs of each alternative option.
- Any sub-heading relating to direct costs (e.g. fieldwork, equipment, dissemination) which exceeds £1,500 must be broken down and explained.

A more detailed explanation of eligible and ineligible costs is provided in the table below.

Budget category	Eligible costs	Ineligible costs	Comments
Salaries and on-costs	<p>Salaries up to our salary cap (for both UK and non-UK staff).</p> <p>National Insurance.</p> <p>Employer pension contributions (up to our salary cap).</p>	Enhanced salaries resulting from promotion are not eligible.	<p>At <i>Full application</i> stage, your budget must show:</p> <ul style="list-style-type: none"> • The annual salary for each named person (net of National Insurance and employer's pension contributions). • The proportion of time each person would contribute to the project, entered as the Full Time Equivalent (FTE), where 1.0 is the equivalent to full time. If calculating a proportion of a week please assume a 35-hour working week and if calculating a proportion of a year assume 220 working days per year. <p>Where the person is not known, please specify the equivalent information separately for each post to be filled.</p> <p>Our salary cap is £85,000 FTE; we do not generally fund salaries above this. This cap applies to the basic salary, excluding on-costs such as NI and employer pension contributions. On-costs may be claimed in addition to basic salary costs, and should be separately itemised in the budget. Where the salary cap applies, on-costs must be calculated based on the capped salary rather than the actual salary.</p> <p>If you are requesting a contribution for a CARA academic, you should indicate this on the budget. The funds requested for this should not exceed £25k per academic per annum.</p> <p>We expect the PI on the project to contribute at least ½ day a week (0.1 FTE) on average over the life of the grant. There is no minimum time limit for other members of the research team; however, it is important that all named members of staff have a clearly defined role.</p>
Cost of living and incremental pay increases	Up to a maximum of 5% per annum.		At <i>Full application</i> stage, an estimate of these increases and increments should be included in the budget. The combined total of any increases and increments

			should not exceed 5% per annum. The Foundation will only meet the costs of actual increases, not estimated ones.
Indirect and estates costs (overheads)	<p>Estates costs for HEI staff who are not permanent staff or PIs can be met on a pro rata basis.</p> <p>Overheads for non-HEIs (but we do not expect overheads to exceed 60% as a proportion of salaries).</p>	<p>Indirect costs for HEIs are ineligible.</p> <p>Estates costs for permanent staff and PIs in HEIs are ineligible.</p>	<p>HEI applicants will be aware that the government has established a revenue stream (the Charity Support Fund) to contribute towards the running costs of research funded by charities at universities. These funds are distributed through the quality-related (QR) element of the higher education funding councils. Grants from the Nuffield Foundation are officially recognised by HEFCE as eligible for this QR funding.</p> <p>Non-HEIs must specify the overhead rate as a proportion of salaries, and provide details of services included in overhead charges (accommodation, management, central services and so on).</p>
Consultants	Daily rates usually within range £250 - £800.		<p>We expect <u>all</u> research team members within the host institution to be funded via salary and on-costs as described above. We also expect to fund most staff within other organisations in this way; however, individuals from other organisations who are undertaking a limited and discrete role on a project may alternatively be written in as consultants. Example consultancy roles include the provision of statistical skills or advice, expert advice regarding data collection instruments or approach, or expert knowledge regarding policy or practice.</p> <p><i>At Full application stage, the number of days and daily rate should be specified in the budget. Rates higher than £800/day need detailed justification on the basis of specific skills, experience or seniority and/or where an individual contributor is freelance or where the input required is known to be limited or concentrated in a specific project element.</i></p> <p>Separate or additional overheads for consultants are not allowable since we expect these to be incorporated within the specified daily rate.</p>

Equipment	Full costs for project-specific equipment for projects lasting three years or more.		Equipment for projects that last less than three years is eligible for part-funding on a pro-rata basis. For example, if the project duration is 18 months, you should request 50% of the actual equipment costs.
Travel and Subsistence (T&S)	<p>T&S for all named individuals on projects.</p> <p>T&S for advisory group members or contributors to events.</p>	Travel and attendance costs at international academic conferences are not eligible, except with specific permission (unlikely prior to grant start).	At <i>Full application</i> stage, any travel and subsistence costs exceeding £1,500 must be broken down and justified.
Data collection/ fieldwork	<p>All direct fieldwork costs.</p> <p>Incentive payments (if justified).</p>		<p>At <i>Full application</i> stage, you should provide details of the issued sample size, achieved sample size, response rate and total cost. Where fieldwork is subcontracted, please provide a specific and up-to-date quotation from the fieldwork provider and specify whether VAT is payable.</p> <p>At <i>Full application</i> stage, any request for incentive payments to ensure respondents' participation needs to be justified in detail, with evidence that these are necessary to the delivery of this specific project. You should show that any advantages in improved participation outweigh potential risks (such as potential influence on responses, and the research relationship, and impact on wider willingness to participate without incentives). We are more likely to be sympathetic to a case for incentive (or 'thank you') payments in qualitative research; or in research which includes particularly onerous demands on</p>

			respondents (e.g. completing a diary); and to incentives in the form of prize draws rather than direct payments.
Communications and stakeholder engagement	Costs of events, publications and dissemination activities.	Fees for open access publication in journals are not eligible.	As the availability of Foundation rooms cannot be guaranteed, your costing assumptions should be based on the use of external facilities. We will make any necessary adjustments later, if we do host any events or meetings. We are aware of the debate about various models of open access for academic publications. However, as matters are not currently settled (especially for the social sciences) and as many journal articles are published after the grant end date, we will only provide funds for this under exceptional circumstances.
Admin and office expenses	Postage, telephone, stationery, photocopying and direct office costs attributable to the project.		At <i>Full application</i> stage, you must provide a breakdown and justification where the total exceeds £1,500.
Other	E.g. direct costs for project specific staff recruitment campaigns.	Fees for advisory group members are not eligible. PhD fees are not eligible. Costs relating to Continuing Professional Development are not eligible.	Direct recruitment costs apply only to recruitment campaigns for project-specific staff (usually research assistants). These cannot be agreed retrospectively. The Foundation considers Continuing Professional Development activities to be the responsibility of the host institution.

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