



## Social Science Award Scheme SOCIAL SCIENCE SMALL GRANT SCHEME

### Conditions of Award (valid until 31 December 2010)\*

The following are the Foundation's standard grant conditions. You need to check that they are acceptable to you and to the organisation that will be administering the grant.

These conditions are intended to ensure: first, that grants are spent for the purposes 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 and approved by the Trustees.
- 2 The grant holder(s) will be responsible for the conduct of the work. The organisation administering the award is responsible for the employment of the staff working on the project and their terms and conditions, and for providing appropriate facilities for the work.
- 3 The host organisation and the grant holder must ensure that all necessary ethical committee approvals, agreements about access, animal licences and requirements of regulatory authorities are in place before the work begins and are maintained for the duration of the grant.
- 4 Any financial support for the project obtained from other sources must be made known to the Foundation as soon as possible.
- 5 The Foundation reserves the right to terminate an award 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 in course of project

- 6 The Foundation should be informed immediately if the grant holder(s) intend(s) to move to another institution during the course of the grant. Decisions about the transfer of the award will be made by the Foundation, though in the case of academic awards the award will usually follow the grant holder. If the decision is to transfer the grant, the grant holder should send the Foundation contact details for the administrative authority at the new institution and arrange for the original institution to send a closing financial statement to the Foundation. The Foundation will contact the new institution to confirm its agreement to the conditions of award and to administering the remaining grant.
- 7 The Foundation's agreement should be sought in advance before any research worker supported from a grant is registered for a higher degree or other qualification.
- 8 The permission of the Foundation must be sought in advance where any significant changes are necessary to the work that will be carried out. The Foundation reserves the right to judge if any project would be so compromised by the changes that the grant should be terminated.

\* Or until funds are exhausted, whichever is the sooner

## **Budgets and financial monitoring**

- 9 Within the limits of the total budget, the spending under different headings should conform broadly to the original estimates in the application approved by the Trustees. If grant holder(s) wish to make any substantial variation of expenditure between headings of the budget set out in the application, they must seek the Foundation's permission *before* doing so.
- 10 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.
- 11 The Foundation will honour nationally agreed salary increases. Grant holders should notify the Foundation of the additional sum required as soon as this is known.
- 12 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 it. **In cases where the equipment costs more than £5,000, the Foundation reserves the right to be consulted about its disposal, and in any disputed case will have the final say.**
- 13 Grants of less than £10,000 may be paid in advance.
- 14 Small grants are normally paid in advance. Final reports should be accompanied by a full financial statement, which relates actual expenditure to the original budget described in the application. At the end of the grant any outstanding balance of more than £50 must be returned to the Foundation.
- 15 If for some reason a grant is 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.

## **Intellectual property, copyright and acknowledgement of the Foundation**

- 16 The Foundation's support for the project should be acknowledged in any publication (written or electronic), poster, or presentation about it, and in any related newspaper article or radio or television programme.
- 17 The Trustees do not allow the title "Nuffield" to be attached to a post, unit or project paid for from a grant without their prior written agreement. Similarly, if grant holders wish to use the Nuffield logo they must contact the Foundation for permission and guidelines to do so.
- 18 If grant holders or their employers wish to issue press statements that mention the Foundation, the Foundation should be given an opportunity to comment on the draft in advance. The Foundation will provide appropriate text to acknowledge that the work has been funded for a particular purpose but that the views expressed are those of the grant holder(s) and not necessarily those of the Foundation.
- 19 Where a project involves collection of original data the grant holder(s) 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.
- 20 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.
- 21 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 totalling more than £5,000).

**Reporting to the Foundation**

- 22** It is to the advantage of the grant holder to keep the Foundation informed of the progress of a project and particularly of changes (to personnel or circumstances) that may affect the outcome of the work, or of important findings.
- 23** The Foundation's project grants and award schemes all have their own separate reporting requirements. The requirements for the Small Grants Scheme are set out below. Successful applicants who do not fulfil the reporting requirements will not be eligible to apply for further grants from the Foundation.

**Data Protection Policy**

- 24** The Nuffield Foundation is registered under the Data Protection Act 1998 and complies with its principles and provisions.
- 25** Applicants will understand that it is necessary for us to store and process information sent by applicants and referees, so that the Foundation may assess applications and review our own grant-making activity. Data are held securely and lawfully processed, and all those handling applications are aware of the confidentiality of the data. Records are retained for no longer than necessary. General information about applications is held and used in the five year reviews we carry out of our grant-making activities. Data are also used to compile lists of award-holders which are publicly available.
- 26** Applicants and their institutions are deemed to have given consent to the Foundation to process data related to applications either by signing an application form or by signing a letter of application for a grant.

## REPORTING REQUIREMENTS

- 1 It is to the advantage of the grant holder to keep the Foundation informed of the progress of a project and particularly of changes (to personnel or circumstances) that may affect the outcome of the work, or of important findings.
- 2 For grants lasting more than two years, interim reports must be submitted annually. This report should provide a brief statement of progress to date, problems and successes, and a description of any circumstances that have led to a departure from the work specified in the original proposal. Interim reports should be no longer than three pages.
- 3 The Foundation requires a **final report** not later than three months after the end of the grant period. This is different from any formal publications arising from the work but is instead an account specifically for the Foundation. There is no set format as Trustees prefer grant holders to determine how best to describe their work. The Final report should be *no more* than three A4 pages and should be accompanied by a summary written in language easily understood by a lay audience. It should give an account of the project, the main findings and an assessment of how far it has achieved its objectives. The Foundation is aware that not all projects succeed. We would 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. Where appropriate, final reports should include the results of any external evaluation or internal monitoring, and include a list of achieved and planned publications and practical results.
- 4 Where a grant has been paid in advance, the final report must be accompanied by a **final financial statement** referred to in paragraph 14 of the standard conditions of award. This must be provided by the Institution's finance department, and detail the items of expenditure, corresponding to the original budget set out in the application.
- 5 In addition, the Foundation should be sent a copy of all papers, conference papers, books, articles, monographs, reports or other material produced by a project as soon as possible after they appear. Where possible the Foundation would like to put these – or links to these – on our website.
- 6 In addition to published outputs, the Foundation should be informed of further work that arises as a direct result of the project. For example, where the project is a pilot, the Foundation is interested in learning whether a larger study is funded as a result.
- 7 Grant holders who fail to submit an end of grant report may not apply to the Foundation for further funding.