



# Grants for Research, Development & Analysis

## *Guide for Outline applications*

### Contents

<b>1.</b>	<b>Introduction</b>	<b>2</b>
<b>2.</b>	<b>What we fund</b>	<b>4</b>
	2.1. What unites our work	4
	2.2. Priorities within domains	5
	2.3. Types of project	11
	2.4. Size and duration of grants	12
	2.5. Eligibility	13
<b>3.</b>	<b>Overview: the application process and what we look for</b>	<b>15</b>
<b>4.</b>	<b>Stage 1: <i>Outline applications</i></b>	<b>18</b>
	4.1. <i>Outline application</i> form	18
	4.2. Sections of the <i>Outline application</i> form	19
	4.3. How to submit your <i>Outline application</i>	23
	4.4. <i>Outline application</i> FAQs	24
	4.5. What happens next?	26
<b>5.</b>	<b>Stage 2: <i>Full applications</i></b>	<b>28</b>
	<b>Appendix A: Budget guidelines for <i>Outline applications</i></b>	<b>29</b>
	Budget guidelines for <i>Outline applications</i>	29
	Budget guidelines for <i>Full applications</i>	31
	<b>Appendix B: Intervention development and early evaluation funding</b>	<b>36</b>

# 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.

In June 2017, the Foundation published a five-year strategy setting out its funding priorities, and we have updated our *Guide for applicants* to reflect these priorities as they evolve. Our primary objective is to improve people's lives through better understanding of the issues affecting their life chances. We are also keen to engage with, and to understand the significance of, new and emerging trends and disruptive forces – social, demographic, technological and economic – that are changing the structures and context of people's lives. Our work is also concerned with securing social inclusion in an increasingly diverse and fragmented society; with the implications of a data-enabled digital culture (for example, for trust, evidence and authority); and with safeguarding, through the justice system, the rights of the individual in relation to the State.

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.

This guide is for those who are considering applying for funding from the Foundation for research, development and analysis projects through our responsive application rounds, of which there are usually two a year. It describes our funding priorities, explains our application process, and sets out our expectations for successful proposals. See our website for the current [application timetable](#).

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 Principal Investigator's responsibility to identify any potential difficulties in complying with the *Terms and conditions* at the *Outline application* stage.
- Visit the '[Apply for funding](#)' section of our website to check application dates.
- Look at projects we have funded in relevant areas. These can be found in the [Education](#) and [Social Policy](#) sections of our website, or summary data are available at <https://www.nuffieldfoundation.org/360giving-open-data>.

Whilst 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

**Updated 20 August 2019**

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 [info@nuffieldfoundation.org](mailto:info@nuffieldfoundation.org) with the subject header: 'Feedback on Guide for Applicants'.

## 2. What we fund

The Nuffield Foundation's research, development and analysis portfolio is central to the delivery of our mission to advance educational opportunity and social well-being across the UK. We expect the work we fund to improve the design and operation of social policy, especially in those domains that we have always identified as underpinning a well-functioning society: **Education, Welfare and Justice**.

### 2.1 What unites our work

We prioritise rigorous and impartial research, development, and analysis projects that:

- Identify and explain the social and economic determinants of opportunity and risk across the life span, focusing in particular on early childhood adversity, transitions from adolescence to young adulthood, and social and economic well-being in adulthood and later life.
- Improve well-being for society as a whole, while ameliorating negative distributional outcomes and the greatest harms.
- Support the development of workable evidence-based solutions for policy and practice over the medium term.

Our research is often founded on quantitative evidence and analysis, but we also believe that the insights provided by well-designed qualitative research or combinations of qualitative and quantitative methods can help to shed light on the problems facing our society and support the development of solutions.

We remain committed, across all of our work, to encouraging original and thought-provoking approaches to research that identify new questions and change the terms of debate. Some issues that will determine the social well-being of the United Kingdom will cut across our three domains of Education, Welfare, and Justice, and may extend beyond them. In particular, we are interested in funding research that takes account of the trends that are changing and shaping today's increasingly complex society. These might include:

- How do **digital technologies and digital communications** alleviate, exacerbate and shift vulnerability, and affect concepts of trust, evidence, and authority?
- In what ways do factors such as **socio-economic status, gender, ethnicity, community, and geography** affect the vulnerability of people to different types of risk, and how can this be mitigated?
- What interventions might promote opportunity and reduce adversity through different life stages, and **promote social inclusion between and across generations**?
- What are the social and economic implications of **physical and mental disability and chronic illness**?
- How can social policy institutions make **better use of research, evidence, and data** in order to understand better the needs of those they serve, and improve services and outcomes?
- How might the **data infrastructure** be used or improved to better understand and explain **outcomes** for individuals and society?

## 2.2 Priorities within domains

Social and economic well-being depends on people's potential being fulfilled through education and skills, how they interact with society and the economy across the life-course, their access to social and economic resources, and their ability to access justice and exercise their rights, particularly in relation to the State. Our core interests therefore focus on three broad public policy domains that we have long identified as underpinning a well-functioning society: Education, Welfare and Justice. We have priorities within each of these domains – which are set out in the next sections – and we are also interested in projects that span these domains.

We encourage the involvement of a range of disciplines to issues in these three domains. These disciplines include, but are not limited to, psychology, economics (including behavioural economics), sociology, geography, and data and computer sciences. We welcome cross-disciplinary approaches and also proposals that cut across our domains of interest.

### EDUCATION

The scope of our interest in education covers all life stages and phases from [early years](#)<sup>1</sup> (including pre-natal), through school, to further and higher education and vocational learning. We are interested in all influences on educational opportunity and life chances, including educational provision, informal learning, family and home environment, gender, and socio-economic and place-related factors.

We have four thematic funding priorities in education: skills and capabilities; teaching quality; young people's pathways; and educational disadvantage. We would expect most of the projects we fund to address one or more of these themes.

#### *Skills and capabilities*

We seek applications related to the skills, capabilities and attributes that equip children and young people for life and work in a rapidly changing world. These may be developed through formal and informal educational experiences, but are also shaped by the home environment and other influences outside of educational institutions.

Particular skills and capabilities include:

- Oral language, literacy and wider communications skills.
- Numeracy, quantitative and data skills, as developed across all subjects (including mathematics, statistics, natural and social sciences, arts and humanities, and vocational learning).
- Scientific inquiry and analytical thinking.
- Social and emotional development, and mental health and well-being more broadly.
- School readiness and the range of skills and competencies this

---

<sup>1</sup> In 2015 the Nuffield Foundation set out some specific funding priorities for early education and childcare research. These can be found here: <https://www.nuffieldfoundation.org/early-years-education-and-childcare-0> and remain of interest to us.

encompasses.

- Broad and transferable skills such as problem-solving, interpersonal skills, collaboration and teamwork, time management, self-confidence, self-efficacy, motivation, leadership, and creative and metacognitive skills.
- Digital skills and their relationship to other skills, including how the increasing use of digital technologies and media affects learning and development.

We are interested in factors that affect the development of these skills and capabilities from the earliest years into adulthood.

### *Teaching quality*

We seek projects aimed at improving the quality of teaching and learning, in particular through:

- Evidence-based pedagogy and practice across all education settings including early years providers, schools, colleges and work-based provision, for example based on carefully designed, developed and evaluated interventions.
- Harnessing digital technologies to improve teaching and learning, parental engagement, and child development.
- Addressing the roles of, and arrangements for, the assessment of learning and achievement.
- Scrutinising and understanding the recruitment, retention, training and continuous professional development of talented and motivated early years, school and tertiary education workforces.
- Enabling better dissemination, accessibility and use of knowledge from research to inform teaching practice.
- Research into school effectiveness and improvement.
- Examining the role and impact of structures and organisation of education systems, including funding and accountability arrangements.

### *Young people's pathways*

We seek projects that improve the evidence base concerning young people's choices, decisions and pathways at key points in their progression through education and training into work. They should aim to influence relevant policy and practice on these issues. Key areas include:

- Pre-16 subject and course choices, and how these relate to later pathways and outcomes.
- The post-16 landscape, encompassing the full range of vocational, technical, further and higher education routes available to young people, how they interpret and understand the options available, pathways into these routes and how they are accessed.
- The immediate and longer-term societal and individual outcomes associated with post-16 routes, including further training, earnings, broader employment and well-being outcomes.
- How the post-16 pathways followed by young people and their associated outcomes vary and why, including evaluating policy and other evidence-based solutions to improve outcomes.
- How to effectively enhance learning outcomes across different pathways,

settings and experiences, for example through work experience or placements in technical routes.

- The role of information, advice, guidance and work experience to support effective learning, education and career development choices.

We are also interested in how the pathways and qualifications available equip young people with the various skills and capabilities set out above, acknowledging that there will be some core skills required for all young people, and others which are more specialised depending on their intended vocations.

#### *Educational disadvantage*

We seek applications that investigate the prevalence of – and interrelationships between – the various forms of educational disadvantage and vulnerability faced by children and young people at risk of falling behind in their learning, or of being locked into trajectories of low achievement. We are particularly interested in projects that aim to identify and address these needs as early as possible, including through the development and evaluation of specific interventions, whether in early years settings and schools or through support for parenting and the home learning environment. We are also interested in how the pathways taken by young people from age 14 and into post-compulsory education and training vary by different forms of disadvantage or vulnerability and how evidence-based policy and practical solutions might address inequalities that underpin or result from these variations.

Particular forms of disadvantage and vulnerabilities of interest include:

- Developmental delays, impairments or difficulties, and other special educational needs.
  - Physical disabilities.
  - Mental health issues.
  - Socio-economic disadvantage.
  - Geographical disadvantage.
  - Being in care, or leaving care.
- 
- We are interested in projects that consider how one or more of these disadvantages or vulnerabilities intersect with our other Education funding priorities, and those within our Welfare and Justice domains.

#### *Approaches to these education priority themes*

We encourage the application of a wide variety of disciplines to these educational issues. These disciplines include psychology, economics (including behavioural economics), sociology, geography, and data and computer sciences. We welcome cross-disciplinary approaches and also education-related proposals that span our other domains of interest (Welfare and Justice).

As with the Foundation's work in general, our primary focus is on the United Kingdom. Where appropriate we are interested in comparative work between the four nations and internationally, particularly taking advantage of differences and similarities in educational policy and practice.

As covered in detail in Section 2.3 we are open to a wide variety of research approaches, believing that the research question should drive the choice of an appropriate methodology. In our Education work, depending on the research questions, we are particularly interested in projects that:

- systematically synthesise the existing evidence base in particular areas of central interest to us;
- undertake secondary analysis of existing datasets and where appropriate linkages between them;
- pilot or evaluate interventions on a pre-trial basis, or through appropriately-scaled trials.

For proposals for interventions, we are particularly interested in projects aimed at developing and evaluating innovative approaches to the direct experience of students at all stages from the early years through compulsory education. Such student-oriented programmes need to be grounded in evidence and/or designed to help develop the evidence base. Scalability should be built in from the outset. They need clear and quantifiable objectives, a defined audience(s), and should be relevant to our educational priorities above, for example:

- Targeting children and young people from disadvantaged backgrounds, whether socio-economic or other types of disadvantage.
- Focusing on the development and application of one or more of the skills or capabilities listed.
- Supporting young people undertaking post-16 routes other than A level and university as discussed.

## **WELFARE**

Our Welfare portfolio seeks to improve well-being across the life course. We are interested in funding research into the determinants of individual well-being and the societal outcomes that result. This includes how those outcomes and determinants vary across groups and generations, and the means by which adverse impacts may be mitigated. We wish to better understand the risks people face and how institutions such as the welfare state, employment and the family interact with those risks to affect quality of life and active participation in society.

Proposals are welcomed in one or more of the following areas.

### *Household and Family dynamics*

Household and family decision making and the constraints that they face is an increasingly important theme for us, which also links with our Education and Justice domains. We seek applications that:

- Illuminate the changing trends in household and family composition and their impact on economic, social, physical and emotional well-being.
- Explain how families invest in the well-being and education of children and the benefits that arise.



- Examine factors affecting individual or family labour market choices and the tax, housing and welfare policies which may influence them.
- Explore the relationships between family and living circumstances and chronic illness, disability and mental health issues.

#### *Labour market, economic and social outcomes*

We are seeking proposals that examine the wider causes of labour market outcomes and how these relate to living standards and individual and collective welfare. We encourage research that examines how the structure of work is changing, including different employment models and the changing demand for skills, and in how these changes affect a range of outcomes such as skill acquisition and health. We are interested in these outcomes across the income and skill distribution, for different groups and for the economy and society as a whole.

#### *Digital and other technologies*

Advances in digital and other technologies have far-reaching implications for how people participate in the labour market and wider society. We welcome research proposals in this area, including how such technologies alleviate, exacerbate and shift vulnerability, and affect concepts of trust, evidence and authority. We are also interested in how the data infrastructure might be used or improved to better understand and explain outcomes for individuals and society.

#### *Intergenerational issues and welfare in later life*

We are calling for proposals that identify and explain how social and economic outcomes are changing within and between generations or that focus on the determinants of inequalities in later life. We welcome research that investigates how and why outcomes vary for different cohorts and which examines the changing nature of intergenerational relationships within families and society, covering factors such as financial transfers, provision of care and engagement in democratic processes.

#### *Geographical inequalities*

Location, neighbourhoods, communities can shape people's lives and their vulnerability to risk. We encourage research proposals in this area, such as into the structure and funding of local services. We may also fund projects that examine the role of migration, including the effective societal and economic integration of migrants and the implications for both local labour markets and community cohesion.

#### *Complementary social and economic analysis*

We occasionally fund other rigorous and independent analysis to inform public debate and ensure that specific policy choices are understood in the context of holistic and historical understanding of the way society and the policy environment is changing.

Complementing our Welfare portfolio, in December 2018, we ran a separate call for research proposals funded by our Oliver Bird Fund, specifically on the causes and consequences of living with musculoskeletal (MSK) conditions (<https://www.nuffieldfoundation.org/OBF>). The programme is focused on exploiting the unique UK data environment to enhance our understanding across a broad range of MSK conditions. We hope it will lay the foundation for developing novel resources to scale MSK data integration at a national level.

## JUSTICE

Our Justice portfolio looks to fund research that supports a modern justice system to deliver effective legal and social justice.

To this end, we seek to develop a balanced portfolio of research and evidence across a range of topics encompassing the administration of justice and the role of law in their broadest senses. We want to help improve outcomes for people by understanding the processes and impacts of the justice system and its decisions. We welcome proposals on all aspects of justice, including people's everyday experience of the law, their access to and participation in the justice system, the role and efficacy of actors and organisations within the system, and the functioning of courts and tribunals. We are particularly focused on people's ability to enforce their legal and social rights, especially in the case of vulnerable individuals or groups. We are also interested in research looking at how justice is achieved (through formal and informal justice system mechanisms), including procedural and substantive fairness.

We have a particular interest in the following topics.

### *Family justice*

We are looking for proposals related to family justice and wider links with child welfare. Across these systems, we wish to understand the ability of agencies to administer existing rights, and provide statutory and discretionary services in a way that delivers social justice. Our interests in family justice span both public and private law matters, and include legal policy issues such as co-habitation, divorce and separation, and child maintenance and contact; the operation of family courts in both public and private law cases; and the use of other mechanisms to promote child welfare outcomes. We will increasingly look to develop and coordinate our agenda here with that of the new [Nuffield Family Justice Observatory](#)

### *Youth justice*

Youth justice is currently our main area of interest in criminal justice (although we are interested in the latter, particularly where it concerns understanding and mitigating the impacts of vulnerability and other forms of disadvantage). We are interested in the factors that lead to young people coming into contact with the justice system, what could have been done to intervene earlier, and the extent to which their interaction with the youth justice system can help (or hinder) them to stop offending and improve their educational outcomes and wider life chances.

### *Decision-making*

We wish to fund projects that explore decision-making. This includes the incentives and structures for encouraging good early decision-making that could avoid disputes which may later require resolution in court, but which also enable ordinary people to take appropriate legal action where needed. Where cases do proceed to formal justice mechanisms, we are interested in the use of problem-solving approaches, and the potential contribution of research evidence (and, increasingly data science based approaches) alongside professional judgment and legal precedent in framing and making decisions. Also of interest is the role of the judiciary in the leadership and delivery of justice including executive

decision making, case management, innovative process and the design of access to justice and delivery systems.

#### *Participation and rights*

We are interested in proposals around the accessibility of the legal system for users and potential users - in particular those who may be vulnerable and those who lack legal representation. A key focus within this is the impact of recent and current policy reforms to access to justice and court modernisation. For example, we want to understand the extent to which the increasing use of digital technology in the delivery of justice and dispute resolution alleviates, exacerbates or shifts the ability of citizens to exercise their rights and solve their problems, whether using formal mechanisms of the courts and tribunals or bargaining in the shadow of the law. We are especially interested in the use of administrative justice mechanisms by individuals and their effectiveness in holding the State to account; here, we focus primarily on projects relating to dispute resolution and how it can be improved rather than on public administration in itself.

#### *Empirical legal research*

We aim to support high quality, impactful socio-legal research, and so we seek to fund methodologically rigorous, empirical studies. To assist the development of the evidence base, we welcome applications for projects that apply methods and analytical approaches that have not been traditionally used in the socio-legal sphere, or that bring a multidisciplinary approach.

## **2.3 Types of project**

The Foundation supports a wide range of research, development and analysis projects.

**Reviews and synthesis**, including formal meta-analysis as well as other systematic and narrative reviews that offer a critical evaluation of empirical research, policy and practice within or across our domains. The aim should be to draw out implications for policy and practice reform (including learning from international experience where appropriate) or to generate a new research agenda.

**Data collection and/or analysis, whether descriptive or designed to understand causality, or both.** Projects often involve descriptive work combined with explanatory analysis that aims to identify factors which are causally related to outcomes, or mechanisms leading to particular outcomes. They typically involve secondary analysis of existing data, but where there are gaps, we may also fund primary data collection. This may involve qualitative or quantitative data, and many successful proposals involve both – the priority is that the methods are appropriate to the question. Our scale does not allow us to fund routine surveys or large-scale data collection on an ongoing basis.

**Pre-trial development work.** We fund projects that conceptualise and design innovative interventions and take the concept through an initial pilot phase. The appropriate scope for a project will depend upon the current stage of the intervention's development. For example, an intervention may be 'promising' because of its strong theoretical basis, but may not have been implemented in practice or subjected to any form of evaluation. Where projects are at

such an early stage, we would expect an application to be small scale and to focus on feasibility and early piloting. In contrast, some interventions may be more developed, with initial evidence of promise from previous evaluation of the approach (e.g. pre- and post-test assessments; a matched study; a trial conducted in another context). Appendix C contains further detail regarding our expectations for pre-trial development work.

**Comparison or controlled trials or evaluations.** We will consider comparison or controlled trials or evaluations where there is a particularly important and innovative intervention that has already been subjected to formal pre-trial development work. We will also consider funding large-scale trials where the evaluation has a strong design and where there are good prospects for wider implementation. All trials should be pre-registered on an appropriate trial registry such as the ISRCTN Registry or AEA Trial Registry. We do **not** fund projects that simply involve ‘rolling out’ a well-known way of working to new areas.

**Research translation.** In some of our areas of interest, practitioners in our priority domains (such as teachers, judges, social workers etc.) have limited access to data showing how systems operate and the outcomes they achieve, and to how to embed this knowledge into practice. We are therefore interested in projects that explore how different approaches can help practitioners to use existing or new data to improve outcomes or service provision in our areas of interest.

### **Developmental projects**

In addition to research, we occasionally fund projects of a more **developmental** nature. These must have direct bearing on, or strong links to, our funding priorities. They may or may not lead to larger scale applications for funding from the Foundation. Examples might include:

- Initial development or feasibility studies for practical project interventions, with relevance to wider populations, i.e. beyond those directly involved in the project.
- Small-scale inquiries, working parties or similar mechanisms to engage and deliberate with a range of stakeholders to reach common ground on a priority policy or practice issue and research/identify a potentially workable way forward.
- Exploratory analysis of new data to inform the feasibility and potential for further analysis.
- Small-scale deep-dive/observational studies to understand the operation of a policy or practice area to inform a larger scale project or initiative.

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*.

## **2.4 Size and duration of grants**

Research, development and analysis grant requests should usually be between £10,000 and £500,000. Most of the grants we award are between £50,000 and £300,000. We occasionally make grants larger than £500,000, but these are an exception and often require

a bespoke timescale for consideration and decision, which would require discussion with the Foundation. Many of our large-scale projects build on earlier Foundation involvement in individual projects, initiatives or clusters of work. Potential applicants for grants over £500,000 should contact the relevant domain director or email [applications@nuffieldfoundation.org](mailto:applications@nuffieldfoundation.org) and we may be able to advise.

We occasionally make smaller grants for pilots or research, development and analysis work costing less than £10,000.

Most projects that we fund are between six months and three years in duration, but we will occasionally consider proposals that have a longer timescale.

Please note that the Nuffield Foundation announced a Strategic Fund in July 2019, and applications for this fund open from 1 October 2019. The £15m Strategic Fund is intended for ambitious, interdisciplinary research proposals beyond the normal scope of the research, development and analysis grants. Strategic Fund grants will typically be in the range of £1m to £3m. For applicants who want to do some initial exploration of ideas, we are also providing the opportunity to apply for seed corn funding. Further details of the Strategic Fund, including how to apply, can be found [here](#). The Strategic Fund guide for applicants will be published in September 2019.

## 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 as the level of detail requested in an *Outline application*, and we do not have the capacity to offer tailored advice to the very many 'pre-outline' queries we receive.

### 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. We do however, welcome applications from UK-based organisations to carry out collaborative projects, possibly involving overseas partners (and/or exploiting data relating to other countries), for example where:

- These provide useful comparators for UK experience in our areas of substantive interest.
- There are lessons to be learned from international experiences.
- Policy or practice overseas might be adapted for the UK.
- There is a capacity building dimension that might benefit 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 our areas of interest. 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 4.2 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 usually have two 'open' funding rounds each year, in which we welcome the submission of ideas for projects that fit our mission in one or more of our three domains of Education, Welfare and Justice. See our website for the current [application timetable](#). We ask applicants to indicate which of the domains, if any, their project *best* fits so that it can be directed to the appropriate team for initial sifting. However, there are no separate budgets or criteria for the different domains, and potentially promising outlines are often shared internally so that they can benefit from the range of experience in the team.

We receive some 400-500 applications each year of which a small minority (typically less than one in ten) are funded. To help manage demand, while offering a personal approach to those with the most promising ideas, we have designed a phased process with two key stages. The first stage is an *Outline application*, comprising a short online application form where applicants can briefly layout 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 Nuffield Foundation's mission and is relevant to the questions in our three domains. 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 (and many of our questions need some quantitative analysis). See Section 2.3 for further advice on methodological considerations.
- **Engagement** - with policy and/or 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 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. Typically, between one in six and one in eight of *Outline* applicants are invited to submit a *Full Application*, which we usually send for external peer-review before being assessed by Trustees. We do not operate a quota and applications are judged on quality.

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 application process is likely to take between six and eight months for most projects, although occasionally we will agree a bespoke timescale with you. The flowchart on the next page provides an overview of the application process. Potential applicants should refer to our website for the latest application 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.

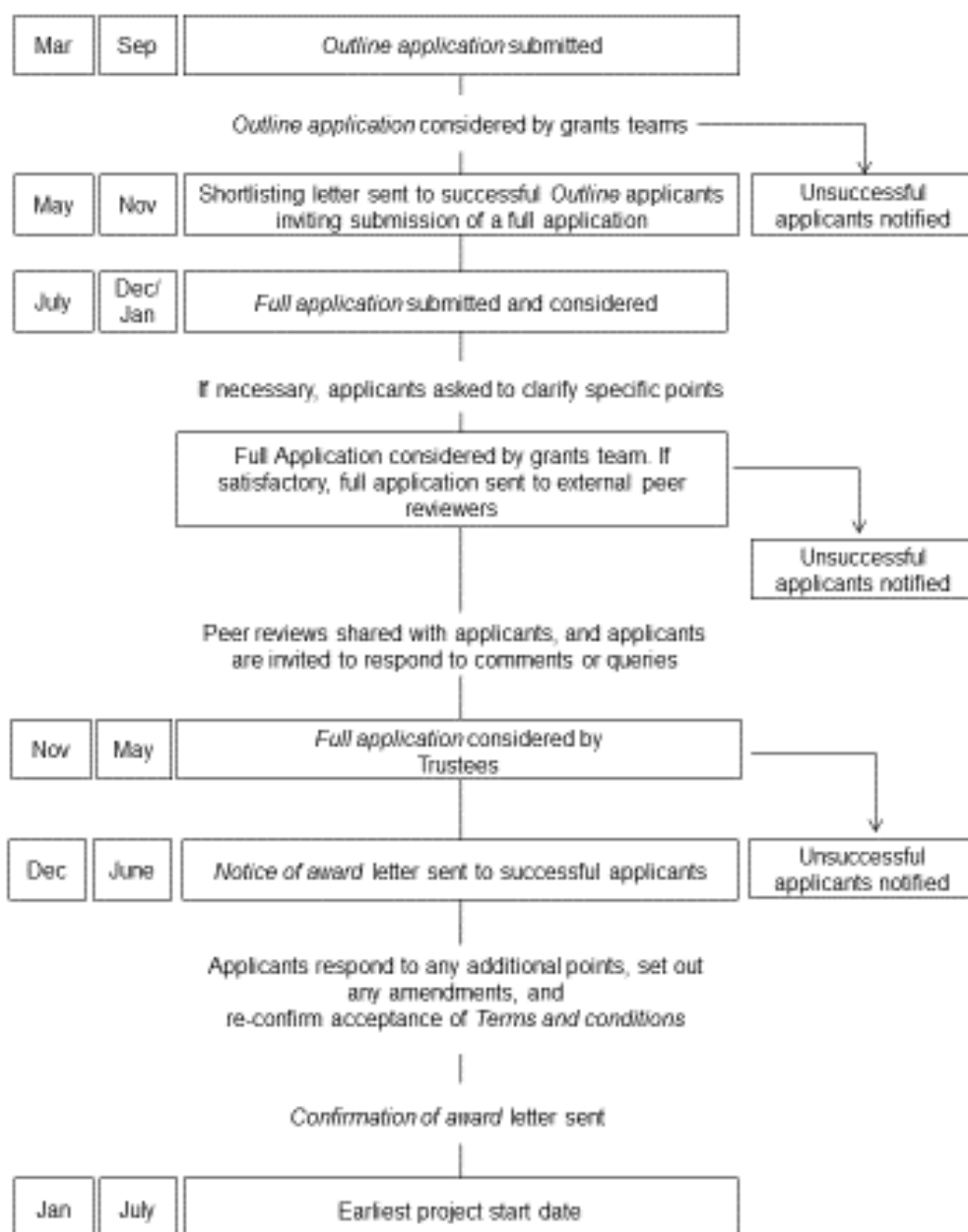
All proposed projects must be led by a named Principal Investigator (PI), who is the lead applicant. PIs must take overall responsibility for the application and be the main point of contact with the Foundation throughout the application process and for the duration of any subsequent grant period. We 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. Given the level of responsibility that these individuals would need to take for the conduct of the project, we would not expect more than two or three individuals to be named as co-investigators.



## Application process overview chart

The months on the left hand side provide an indication of our two grants rounds, but applicants should check the [application timetable](#) on our website for key dates and deadlines.



## 4. Stage 1: *Outline applications*

From August 2019 onwards, *Outline applications* must be submitted via our [online form](#). Applications need 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 Foundation's interests, 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 in order to judge the application.

We receive a large volume of *Outline applications* in each round. It is therefore important that you follow the guidance here to enable reviewers to judge your application on its merits. Only a small proportion of *Outline applications* are 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 receive in our responsive rounds, we are not able to meet with, or offer bespoke advice to, prospective applicants prior to the submission of an outline, nor to provide specific feedback on unsuccessful *Outline applications*.

### 4.1 *Outline application form*

You can find the *Outline application* form via the [Nuffield Foundation website](#) or via this [link](#).

- You **must** use this online form to submit your *Outline application*. If there is a legitimate reason why we need to consider an offline application, then you should contact us at [outlines@nuffieldfoundation.org](mailto:outlines@nuffieldfoundation.org) to discuss an alternative method.
- You **must** follow the guidance in the online *Outline application* form on word / character limits and attachments. You will not be able to submit your application if it exceeds the word or character limits, or if you do not answer mandatory questions.
- Please provide supporting documentation as attachments where prompted.
- The *Outline application* form cannot accept rich text format. You may therefore provide additional information in the form of charts, diagrams, tables or budgetary explanations as an attachment if required. This can be attached as a single file in Word, Excel, PowerPoint or text-searchable PDF format. However, we would **strongly** prefer that all relevant information regarding your *Outline* is covered in the sections within the form, without the need for a separate attachment.
- Please pay attention to the FAQs section below, particularly with regard to saving progress and returning to the application later, and to the process for saving a copy of the application before submitting.

## 4.2 Sections of the *Outline application form*

In each section of the application form there is guidance on the types of questions you should answer in completing the section. Not all of these questions will be applicable to all projects, and there will be a distinction between research, development and analysis projects. 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. Further guidance is contained in the table below which gives details on the sections and, questions of the *Outline application form*, together with word and character limits. (For applicants who have previously applied to the Nuffield Foundation's Research, development and analysis grants rounds, the structure, sequencing and detail will be very familiar.)

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
<b>Page 1</b>	<i>Details of the Principal Investigator, PI's organisation and any Co-Investigators.</i>			
Main focus of your project	Dropdown		Mandatory	Education, Justice or Welfare
PI's title	Dropdown		Mandatory	
PI's first name	Free text	40 characters	Mandatory	
PI's last name	Free text	80 characters	Mandatory	
PI's position/job title	Free text	128 characters	Mandatory	
PI's email address	Email field	80 characters	Mandatory	
PI's telephone number	Free text	40 characters	Mandatory	
PI's organisation name	Free text	80 characters	Mandatory	
PI's organisation department	Free text	80 characters	Optional	
Is organisation a UK registered charity?	Dropdown		Mandatory	
Registered charity number/reference	Free text	255 characters	Optional	If organisation a registered charity
Charity regulator	Dropdown		Optional	If organisation a registered charity
Organisation address - Building name/number and street	Free text	255 characters	Mandatory	
Town/city	Free text	40 characters	Mandatory	
County	Free text	80 characters	Optional	
Country	Dropdown		Mandatory	
Postcode	Free text	10 characters	Mandatory	
Are Co-Investigators involved in this project	Button		Mandatory	Selection of Yes will generate detail fields for Co-Investigator

Add another Co-Investigator	Button		Optional	Selection of Yes will generate detail fields for Co-Investigators
<b>Page 2</b>	<i>Proposed project dates, project focus, project summary and any non-standard funding arrangements</i>			
Project title	Free text	80 characters	Mandatory	
Proposed start date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date in "DD/MM/YYYY" format
Proposed end date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date in "DD/MM/YYYY" format
Does the proposed project focus on the following geographical area (You may select more than one category)	Checkboxes		Mandatory	England, Scotland, Wales, Northern Ireland, or International/ non-UK
Does the proposed project focus on urban populations, non-urban populations, both or neither	Dropdown		Mandatory	
Does the proposed project focus on specific locations or a type of location e.g. region, city, category of towns	Dropdown		Mandatory	
Project summary	Free text	250 words	Mandatory	

Have you applied, or are you applying, elsewhere for funds for this project, or for a similar or related project?	Dropdown		Mandatory	
Please give full details here...	Free text	500 words	Optional	If you have applied, or are applying, elsewhere for funds for this project, or for a similar or related project.
If you wish to propose a partnership funding model...	Free text	500 words	Optional	Please identify here the proposed co-funders and explain why a partnership funding model would be beneficial
<b>Page 3</b>	<i>Details of the proposed project</i>			
A. Case for the importance of the project:	Free text	500 words	Mandatory	
B. Aims and objectives:	Free text	500 words	Mandatory	
C. Methods, approach and activities	Free text	1400 words	Mandatory	
D. Outcomes, outputs and dissemination:	Free text	350 words	Mandatory	
E. Staffing:	Free text	350 words	Mandatory	
Choose file - add CV	File upload		Optional	
Add another CV	File upload		Optional	
F. Timetable:	Free text	700 words	Mandatory	
G. Budget:	Number fields		Mandatory	See further details below.
H. Bibliographic references:	Free text	350 words	Mandatory	
Additional information	File upload		Optional	
<b>Page 4</b>	<i>Declaration and electronic signature before confirming and submitting the application</i>			
Declaration/signature	Free text		Mandatory	

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. Not all of these questions will be applicable to all projects. The sections also indicate how much detail you should provide. You should aim to provide a sufficient level of detail 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 Section C: **Methods, approach and activities**. The purpose of this section is to set out the work you will undertake to achieve the aims and objectives, and to address the research questions, if applicable. 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 sufficient 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 research synthesis/review, data collection or analysis as relevant. For each approach, you should provide sufficient 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 evaluations - how the 'counterfactual' will be assessed and what effect sizes will be detectable.

We do not expect all **development projects** to succeed in leading to further work, but we still expect significant rigour in their design and delivery. They require significant skill and experience to ensure they are delivered successfully and that any potential to lead to further

work is properly explored. As an applicant for a development project, you will need to set out what you will do, how you will do it, why you have chosen the proposed approach, and initial thoughts on how the activities proposed might lead to further work. It is particularly important to set out whether the proposed team has previous experience of applying the proposed approach, and in moving projects out of development phase.

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 sufficient 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. non-staff costs for quantitative and qualitative research) and complies with our *Budget guidelines for Outline applications* (see Appendix A).

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. However, if you feel it is important to include additional information that is supportive of your application (e.g. a letter of support from a key stakeholder who will need to provide access to data or is pivotal in delivering impact) you may do so. If you are providing additional information, it must be submitted in a single attached document in Word, Excel, PowerPoint or readable PDF format.

**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.**

### 4.3 How to submit your *Outline application*

The latest deadlines for *Outline applications* can be found on our website. You should review the website regularly as deadlines may be subject to change.

You must complete the online *Outline application* form on the [Nuffield Foundation website](#) or via this [link](#).

You must use the online application form to submit your application, and we will not accept *Outline* applications in any other format.

Once you have submitted your *Outline application*, you will no longer be able to access the form to download or edit it. Therefore, in order to save a copy, please select **Review and**

**Print Before Submit** at the end of the form. This will generate a summary of your application, scroll to the bottom and click Print this page. In the print preview screen, go to the left and select the Destination drop down, choose Save as PDF. This will let you save a copy of your application to your PC.

You must click **Confirm** on the *Outline application* form for your application to be submitted to the Foundation. We will not receive your application if this is not selected at the end of the application form.

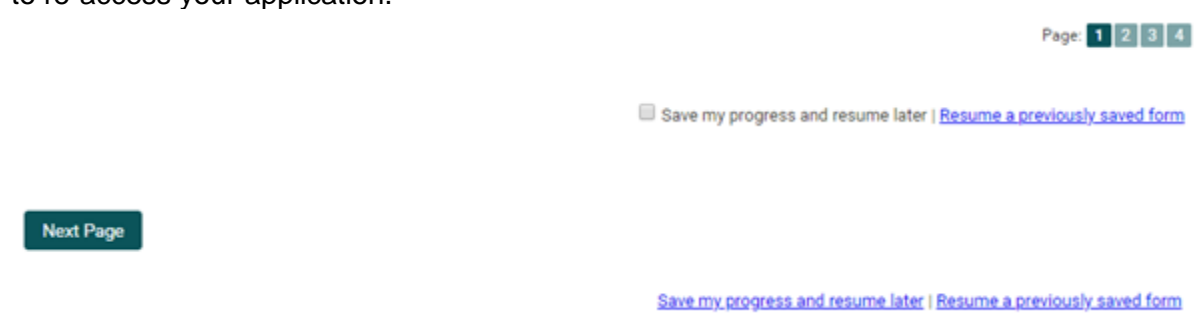
Once an *Outline application* has been completed and submitted, you should receive an email confirming receipt of your application and providing a reference number for your application.

If you have any concerns or queries about your *Outline application*, please contact [outlines@nuffieldfoundation.org](mailto:outlines@nuffieldfoundation.org). Please ensure you include the name of the PI and if you have received it, the application reference number included in your confirmation email.

## 4.4 *Outline application* FAQs

### 1. How do I save my *Outline application*?

At the top and bottom of the *Outline application* form there is the option to save your *Outline application* form, and to resume a previously saved form. When saving your application, you will be asked to provide an email and password; remember these details to re-access your application.



The screenshot shows a section of the application form. At the top right, it says 'Page: 1 2 3 4' with '1' highlighted. Below this, there is a checkbox labeled 'Save my progress and resume later' followed by a blue link 'Resume a previously saved form'. At the bottom left, there is a green button labeled 'Next Page'. At the bottom right, there is another blue link 'Resume a previously saved form'.

### 2. Can I save my *Outline application* before submitting it?

Once you have submitted your *Outline application* you will no longer be able to access the form to download or edit it. In order to save it, please select Review and Print Before Submit at the end of the form.



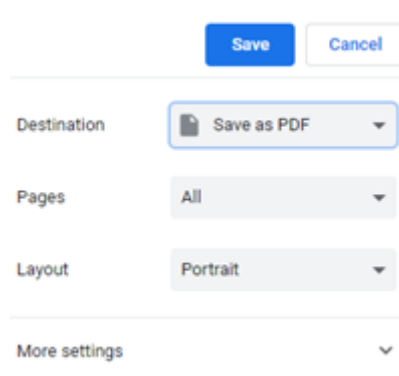
The screenshot shows two green buttons side-by-side: 'Previous Page' and 'Review and Print Before Submit'. Below these buttons, there is a blue link 'Resume a previously saved form'.

This will generate a summary of your application, scroll to the bottom and click Print this page.



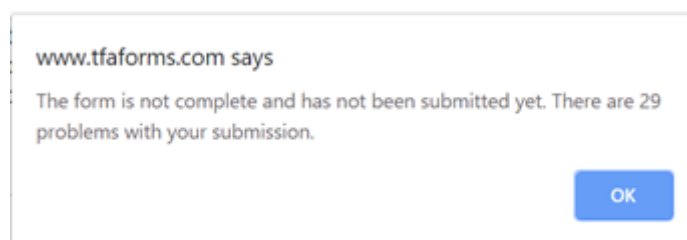


In the print preview screen, go to the left and select the Destination drop down, choose Save as PDF. This will let you save a copy of your application to your PC.



### 3. There are errors in my *Outline application*. How can these be resolved?

Throughout the application form there are mandatory fields which must be completed for an application to be submitted: these fields are denoted by a red asterisk and a detailed breakdown of them can be found in Section 4.2 of this guidance. If these fields are not completed, you will receive the notification below:



You will be given the option to address any problems that have been flagged up with your application, and these will be highlighted for your ease.

### 4. Do I need an electronic signature?

You don't need to use an electronic signature to declare completion of the application form. Simply typing your name is acceptable.

### 5. My *Outline application* did not submit.

Your application will not be submitted until you have clicked 'Review and Print Before Submit'. This will flag up any issues with your application and give you a chance to address them. If there are no issues with your application, then you will be shown a preview of your application. At the very bottom of the page there will be a button to 'Confirm'. You must click this for your application to be submitted.

### 6. Does the online application support rich text?

The online application does not support rich text – please enter words only, without any additional formatting. Do not cut and paste formatted content from external documents

or web pages as formatting will not be retained and any hidden formatting may distort the word count.

**7. I cannot find my registered charity.**

In order for the Registered charity number to work, you will need to submit a correct charity number and the correct charity regulator that the charity sits within. To confirm whether the charity number and charity regulator is correct, please visit the [Charity Commission website](#).

**8. I cannot fit my project title into the application form; is there a way to increase the character limit?**

There is a hard cap on the length of the project title and we would ask that all applicants keep to the specified 80 character limit. We are unable to increase this cap.

**9. Will I lose any entered information if I use the navigation buttons in the *Outline application* form at the top and bottom of the page?**

You will not lose any data that has been input into your form when switching pages on the application using the Previous Page and Next Page buttons at the bottom of the page, as well as the Page 1, 2, 3 and 4 buttons at the top of the page. (You should not use the forward and back buttons in the browser – only use the navigation buttons within the Outline application form itself.) Please note that you should always make sure you save your application before closing the browser.

**10. Can I work collaboratively on the online application form with my co-investigators?**

Two applicants cannot work on the form at the same time. If necessary, you can share the link and password with co-applicants, though we would not recommend this.

## **4.5 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. *Outline applications* are judged against our criteria and also in comparison with the large number of other applications we 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 open calls are extremely competitive and we shortlist only a small proportion of proposals so that we provide the right advice and support at the next stage. We therefore focus our feedback on those outlines that have been shortlisted, and 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 our website. If you do not hear back by the specified date, you should contact [outlines@nuffieldfoundation.org](mailto: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.

***Please note that Full applications must be submitted online using the instructions given in the emailed letter inviting you to prepare the Full application.***

We aim to ensure that applicants have around six weeks to prepare their *Full application*. We do not generally allow deferrals to a later round unless there is a strong case for doing so. Unless we agree an alternative timescale with you, if we do not receive your *Full application* for the next deadline, 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. Stage 2: *Full applications***

During 2019, we are moving to an online application and grant management system. We do not expect that our funding priorities, assessment criteria and the information we require will be affected but the method and format of submission will change. We will provide updated information once the online *Full application* system is available. Updated guidance on submitting *Full applications* will be released in November 2019.

## Appendix A: Budget guidelines

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

- 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*; budgets should be inclusive of all VAT and local taxes, where applicable.
- 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.
- We reserve the right to hold back 20% of the total grant value until satisfactory completion of all grant work and outputs.
- 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.

### Budget guidelines for *Outline applications*

In the *Outline application*, you will be asked to set out your proposed budget using the broad categories below:

- Staff costs: salaries and on-costs
- Staff costs: estate costs (HEIs only)
- Staff costs: overhead costs (non-HEIs only)
- Staff costs: consultants
- Non-staff costs: qualitative research
- Non-staff costs: quantitative research
- Non-staff costs: communications and stakeholder engagement

- Non-staff costs: equipment
- Non-staff costs: other direct costs

The types of cost we expect to be included under each of the non-staff cost headings is outlined below:

Non-staff costs	Include direct costs relating to:
a. Quantitative research	survey fieldwork costs (and associated print and postage), data entry, data processing, incentives (please refer to detailed guidance if using incentives), data access/linkage fees, travel to secure data enclaves, statistical software licences, assessment materials and licences, etc.
b. Qualitative research	transcription, incentives (please refer to detailed guidance if using incentives), fieldwork associated travel, accommodation and subsistence, qualitative analysis software licences, etc.
c. Communications and stakeholder engagement	dissemination activities, conference and workshop expenses, advisory group activities, travel for advisory groups, etc.
d. Equipment	e.g. recording equipment, laptops
e. Other direct costs	general administrative or office expenses, recruitment of project staff, any other costs not covered elsewhere

A more detailed explanation of eligible and ineligible costs mostly relevant to the *Full application* stage is provided below.

**Budget guidelines for *Full applications***

Budget category	Eligible costs	Ineligible costs	Comments
<b>Salaries and on-costs</b>	<p>Salaries (for both UK and non-UK staff).</p> <p>National Insurance.</p> <p>Employer pension contributions</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"> <li>The annual salary for each named person (net of National Insurance and employer's pension contributions).</li> <li>The proportion of time each person would <b>contribute to the project</b>, 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.</li> </ul> <p>Where the person is not known, please specify the equivalent information separately for each post to be filled.</p> <p>On-costs may be claimed in addition to basic salary costs and should be separately itemised in the budget.</p> <p>Where an individual is expected to receive incremental pay increases, these can be incorporated into the budget as increased salary and on-costs from the second year of the project onwards. However, no adjustment should be made for inflation, since annual inflationary adjustments to budgets will be made by the Foundation</p> <p>We expect the PI on the project to contribute <b>at least</b> 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>

<p><b>Indirect and estates costs (overheads)</b></p>	<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>
<p><b>Consultants</b></p>	<p>Daily rates usually within range £250 - £800.</p>		<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>At <i>Full application</i> 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.</p> <p>Separate or additional overheads for consultants are not allowable since we expect these to be incorporated within the specified daily rate.</p>



<b>Equipment</b>	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.
<b>Direct research costs – broken down by qualitative research and quantitative research</b>	<p>Direct fieldwork costs.</p> <p>Incentive payments (if justified).</p> <p>Travel &amp; subsistence to undertake quantitative or qualitative research activities.</p> <p>Admin and office expenses incurred to</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 respondents (e.g. completing a diary); and to incentives in the form of prize draws rather than direct payments.</p>

	undertaken quantitative or qualitative research activities.		
<b>Communications and stakeholder engagement</b>	<p>Travel &amp; subsistence for advisory group members or contributors to events.</p> <p>Costs of events, publications and dissemination activities.</p>	<p>Travel and attendance costs at international academic conferences are not eligible, except with specific permission (unlikely prior to grant start).</p> <p>Fees for open access publication in journals are not eligible.</p>	<p>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.</p> <p>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.</p>
<b>Other direct costs</b>	<p>E.g. direct costs for project specific staff recruitment campaigns.</p> <p>Other admin or office expenses that</p>	<p>Fees for advisory group members are not eligible.</p> <p>PhD fees are not eligible.</p>	<p>You must provide further breakdown or justification for budget lines that exceed £5,000.</p> <p>Direct recruitment costs apply only to recruitment campaigns for project-specific staff (usually research assistants). These cannot be agreed retrospectively.</p>

Updated 20 August 2019

	are attributable to the project.	Costs relating to Continuing Professional Development are not eligible.	The Foundation considers Continuing Professional Development activities to be the responsibility of the host institution.
--	----------------------------------	---	---

## **Appendix B: *Intervention development and early evaluation funding***

### **Key criteria for development and early evaluation funding**

To be considered for development and early evaluation funding, applicants should demonstrate they have:

**An intervention or approach aimed at improving outcomes – in the Foundation’s areas and populations of interest.** The application must describe the intervention in sufficient detail to explain the nature of the intervention, its intensity e.g. in terms of contact hours, duration, etc., and the target population.

**A theoretical basis for why the approach is likely to have an impact based on research literature.** The Nuffield Foundation seeks to promote evidence-based policy and practice. It is therefore important that interventions have a sound theoretical basis for anticipating an impact on specified outcomes.

**A clear rationale for why it might be expected to be an improvement on existing interventions that tackle the same issue.** We are keen to generate high quality evidence about what works, but we do not want to encourage an unnecessary proliferation of interventions. Applicants should demonstrate their awareness of other interventions that seek to tackle the same issue and explain why their intervention would be an improvement upon others already in use.

**Some prior experience delivering the approach in equivalent settings and/or with equivalent populations, or a track record of developing and/or delivering other promising approaches.** Interventions will only be effective if they are acceptable to practitioners and participants and feasible to implement. Applicants will need to demonstrate their experience of working in or with relevant settings/populations to show they understand the relevant issues, and that they have the necessary skills to successfully deliver the proposed project.

**An approach that could be delivered at a reasonable cost.** Since high costs are likely to constrain reach, value for money will be an important consideration.

**Appetite and potential for the approach to be delivered at scale.** Since our ultimate aim is to promote interventions with strong evidence of effectiveness, it is important that applicants have aspirations for delivery at scale, or ideas for pathways for delivery at scale.

**Identified the questions to be answered in the development and early evaluation work, how this work will be undertaken, and how it will contribute towards making the**

**approach ready for future trial.** Please see the following section for information about what a development and early evaluation project should seek to achieve.

**Evaluation expertise.** We expect all intervention development projects to have an evaluation component, and to consider how further development or scaling up might also be evaluated robustly and effectively. We encourage intervention designers and developers who do not have evaluation expertise to form partnerships with organisations that do.

**Commitment to future independent evaluation of their approach via an RCT, where feasible.** Since RCTs constitute the most robust form of evaluation, we would expect applicants to be committed to this approach.

### **Expected outcomes of a development and early evaluation project**

In order to pave the way towards a large-scale RCT, a development and early evaluation project will need to refine the proposed intervention and provide formative findings that will help improve future delivery. It will also need to demonstrate that the intervention or approach meets the following conditions:

#### **Feasibility**

- For example, is the approach acceptable to practitioners and/or the target population? Is the approach suitably resourced (including time)? Is the approach aimed at a suitable target population? Could settings or the target population afford to buy the intervention? Has feasibility been demonstrated in an appropriate context i.e. one that is applicable to equivalent settings in the UK?

#### **Evidence of promise**

- Is there evidence that this approach could impact on outcomes (i.e. is the approach underpinned by evidence, does the approach change participant behaviour as predicted in the theory of change, is it likely that the observed behaviours could lead to a change in outcomes, has there been a measurable change in outcomes)?

#### **Readiness for trial**

- Is the intervention replicable (i.e. is there a clearly defined intervention)? Is the intervention scalable (i.e. could the intervention be delivered in a number of settings in its current form or is further development required)?

We do not expect all applications to address all these questions comprehensively within one project. The appropriate scope for a project will depend upon the current stage of the intervention's development. For example, some interventions may have a strong theoretical basis for why the approach is likely to have an impact and to be an improvement upon existing interventions, but may not have been implemented in practice or subjected to any

form of evaluation. Where projects are at such an early stage we would expect an application to be small scale and to focus on feasibility and early piloting.

In contrast, some interventions may be more developed, with initial evidence of promise from previous evaluation of the approach (e.g. pre- and post-test assessments; a matched study; a trial conducted in another context). Where projects are at this later stage of development, applications should contain a strong evaluative component designed to ascertain whether the intervention generates a measurable change in outcomes.

An evaluation component of this kind would need to:

- employ a robust design with an appropriate control group;
- use outcome measures that are valid, reliable and predictive of later outcomes; and
- be adequately powered (i.e. have sufficient scale to detect the expected effect of the intervention).

We therefore welcome applications for small-scale RCTs since they will provide good evidence of the likely intervention effect and test the practicalities associated with implementing an RCT design.

Where projects are at this later stage of development, we would also expect the evaluation component to have independence built in as far as possible and to employ appropriate strategies to minimise the risk of bias. This might mean publishing a protocol and statistical analysis plan in advance of conducting the project, involving an independent evaluator to measure outcomes, or ensuring that the individuals measuring and comparing outcomes between intervention and comparison groups are blind to the treatment condition. In particular, all trials should be pre-registered.

Where development and early evaluation projects are able to demonstrate all of the features identified (i.e. feasibility, evidence of promise and readiness for trial), we expect that they will be ready for a large-scale RCT to test efficacy – i.e. whether the intervention can work under ideal / developer-led conditions in a larger number of settings.