# Grants for Research, Development & Analysis

*Guide for applicants*

## Contents

1. **Introduction** ........................................... 2

2. **What we fund** ........................................ 4
   - 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 ....................... 13
   - 2.5. Eligibility .......................................... 13

3. **Overview: the application process and what we look for** .................. 15

4. **Stage 1: Outline applications** ................................ 18
   - 4.1. Outline application form ............................ 18
   - 4.2. How to submit your Outline application .......... 20
   - 4.3. What happens next? .................................. 21

5. **Stage 2: Full applications** ................................ 22
   - 5.1. Full application form ............................... 22
   - 5.2. How to submit your Full application ............... 26
   - 5.3. What happens next? .................................. 27

6. **Stage 3: Finalising the award** ................................ 28
   - 6.1. Outcome letters ....................................... 28
   - 6.2. Response to outcome letters ....................... 28
   - 6.3. Confirmation of award ............................... 28

---

*Appendix A: Budget guidelines* .................................. 30

*Appendix B: Intervention Development and Early Evaluation Funding* ........ 36
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.
- The separate Guide for grant-holders provides an overview of our requirements of grant-holders and what they can expect from the Foundation. You should read both these guides, along with our Terms and conditions, before submitting your application, as you will need to take into account our requirements in your plans.
- 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 support promising applicants in refining and delivering projects, to help maximise their rigour and impact.

During 2019, we will move 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 application system is available. Until that time, anyone wishing to submit an application should follow the process detailed in this Guide for applicants.

We welcome feedback from those reading and using this guide. This can be sent to 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\(^1\) (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.

\(^1\) 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.
- School readiness and the range of skills and competencies this 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.
Updated 22 May 2019

- 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

Page 10 of 38
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 B 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 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.

2.5 Eligibility

We have few hard and fast rules about eligibility but offer the following guidance in response to the most frequently asked questions we receive: The best way to get a clear answer to your question is to submit an outline. The outline process is specifically designed as a mechanism for you to test out your ideas with us. It is often hard for us to offer steers without the level of detail requested in an Outline application, 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 4.1 below.

Multiple proposals

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

Exclusions

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

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

The Nuffield Foundation seeks to be a flexible and engaged funder that offers more than money. We 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, comprised of a short 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

Your Outline application needs to provide a clear, concise and compelling account of your proposal, why it is needed and the impact it is expected to achieve. The Outline must demonstrate that the project fits within the 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

- During 2019, we will move 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 application system is available. Until that time, anyone wishing to submit an application should follow the process detailed in this Guide for applicants.
- There is a standard application form which should be downloaded from our website. You must use this to submit your application.
- You must follow the guidance on the Outline application form on word count and page length.
- It must be written in Arial, font size 11pt.
- Your Outline application should consist of one file only.
- Please submit the application in Word format. If this is not possible, you may submit a text searchable PDF.

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

On the Outline application, you must state if you are applying or have applied for funds for your project elsewhere. We will judge your application on its merits but reserve the right to contact the relevant person at the other funding organisation(s) for information. Where
applicants wish to propose a partnership funding model, we would expect them to argue the
case for such an approach within their Outline application. This should provide the name and
contact details of the proposed co-funder and set out the reasons for considering a
partnership funding model so that we can take this into consideration when reviewing your
application. We would usually expect to contact the proposed co-funder to discuss the
feasibility of co-funding prior to a funding decision being made by the Foundation’s Trustees.
In each section of the application form there is guidance on the types of questions you
should answer in completing the section. 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. 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:
  o For any form of sampling - information on the proposed sampling method,
    planned issued and achieved sample sizes, and issues of bias to be
    considered.
  o For quantitative analysis – an assessment of whether the sample sizes are
    big enough to test the key relationships with sufficient confidence, including
    subgroup analysis.
  o For qualitative work – how the sampling strategy will ensure an appropriate
    range of individuals and experiences are covered, and the approach to
    analysis.
  o 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. for data collection) and complies with our Budget guidelines (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. Additional information must not exceed one side in total.

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

### 4.2 How to submit your Outline application

During 2019, we will move 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 application system is available. Until that time, anyone wishing to submit an application should follow the process detailed in this Guide for applicants.

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

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.

4.3 What happens next?

Research professionals in our grants team (Programme Heads and Directors) are
experienced in undertaking, commissioning or managing empirical social science research,
to inform policy and practice. They review every eligible Outline application, and may consult
Trustees or other key stakeholders. 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.

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.

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 will move 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 application system is available. Until that time, anyone wishing to submit an application should follow the process detailed in this Guide for applicants.

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

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

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

5.1 Full application form

- There is a standard application form, which you should download from our website. You must use this to submit your Full application.
- You should follow the guidance on the Full application form on word count and page length. Although we do allow some flexibility for the individual sections, your application form must not exceed 12 pages in total (excluding CVs).
- It must be written in Arial, font size 11pt.
- Please submit the application in Word format. If this is not possible, you may submit a text searchable PDF.
- Your budget must be submitted in an excel spreadsheet, following the guidelines noted in Appendix A.

It is not necessary to include any additional information to that requested in the application form. 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. Additional information must not exceed one side in total.

When necessary, you may also include a short technical appendix (e.g. with details of econometric or statistical modelling). This should not exceed three A4 sides. This is in addition to the page limit cited above.
The application has standard sections you must complete. The form gives an indication of maximum length for each section, but we recognise that different projects require different approaches and so there is flexibility within sections (although the overall application should be no longer than 12 pages – excluding CVs and technical appendix).

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

In particular, at Full application stage we expect:

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

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

If this involves quantitative data collection, you should provide information about both your issued and achieved sample sizes, along with appropriate power calculations, and how you will account for expected attrition. Where the project involves a survey, you must provide details of the approach to implementation, and demonstrate an understanding of the practical implementation challenges as well as statistical theory. If your study involves collecting data in a systematic and quantifiable way from electronic or paper records, (e.g. court files) you need to state what data is held in what form, identify issues of data quality and consistency and set out how the data will be accessed, collected and manipulated to be in a useable form for analysis.

If this involves qualitative data collection, you should clearly set out the approach you are suggesting for each group (e.g. one to one in-depth interviews, focus groups, deliberation) and identify any specific tools or interviewing techniques you intend to deploy to elicit quality data. You should also set out the approach you intend to take for the analysis and presentation of findings.
For all projects that include primary quantitative or qualitative data collection, you should set out whether you plan to deposit the data at an appropriate archive to ensure data is available for future research. You should explain:

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

If you do not think it is appropriate to deposit the data for future use, you should say why this is. Any costs related to preparing data for archiving should be included in your budget.

Where you propose **secondary data analysis of existing data sources** – surveys, administrative data or other sources – you must explain how the source is appropriate to address the aims and objectives of the project, how you will obtain access to the data source, and what further manipulation of the data may be necessary to make it fit for purpose. You should also include an analysis plan. Researchers should use and integrate the data sources that best address their research questions (rather than focusing on only one dataset and then using separate projects to interrogate other datasets to examine the same issue).

**For reviews and synthesis**, including formal meta-analysis as well as other systematic and narrative reviews, you need to demonstrate that your approach will deliver a critical assessment of empirical research or policy/practice initiatives, drawing out implications for policy and practice, or generating a new research agenda. You will need to demonstrate that you have undertaken preliminary work to establish there is sufficient literature to review.

You will need to explain how relevant research would be identified (i.e. which databases will be searched) and include details about how you would assess the quality of studies and other inclusion criteria.

For **pre-trial development work**, there needs to be potential for the work to progress to decisive outcome trials, and interventions which are being tested must be based on strong evidence, for example about the:

- scale and nature of the problem that the intervention seeks to address;
- causal mechanisms at the heart of any programme design;
- practicality of implementing the proposed intervention in the chosen setting;
- potential effect sizes; and the
- feasibility of conducting an evaluation of sufficient scale and rigour to provide convincing evidence of effectiveness.

Please see Appendix B for further detail regarding our expectations for pre-trial development work.
We usually expect pre-trial development work to be undertaken separately and independently from formal large-scale comparison or controlled trials to establish potential effectiveness (including cost effectiveness). Applicants must set out why any particular concept or approach – as opposed to others that may already be available or in development – warrants further development and testing.

**Evaluations**, whether process, impact or economic, will often require a mix of methods in order to address the research questions and meet the wider project objectives, and you should therefore apply the guidance above where relevant. In addition, you should provide details about:

- the underlying theory for the intervention proposed for evaluation;
- how any ‘counterfactual’ would be assessed;
- the outcome measures you would use, including their validity, reliability and how these would be collected; and
- estimated sample sizes and whether these would provide sufficient power to detect the expected effect size, with reference to previously observed effect sizes where relevant.

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

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

You must provide information on your approach to **quality assurance and risk management** (Section G). You should include details of how you will assure the quality of project design, analysis and interpretation of the findings, and project outputs. In this section, you should also identify any limitations and risks to the project, including any measures you propose to manage and mitigate them.

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

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

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

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

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

We need to be confident that the proposed Staff (Section D) have the necessary expertise to conduct the project proposed. You must therefore provide the information required to make this assessment in the appropriate part of the application form and by including short CVs (one page each) that focus on the skills and experience of the individual relevant to delivering this project. In addition to information on how you will manage the contributions of staff working on the project, you should also set out within section D your proposed project management arrangements for the grant.

We are keen to develop the future pipeline of empirical researchers in our fields of interest, through the development of less experienced staff in the proposed team, and to encourage interdisciplinary teams that share and develop their expertise. Demonstrating this in your proposal will be considered favourably by the Foundation.

We encourage applicants to look at the details of our student programmes, such as Nuffield Research Placements and Q-Step on the website, and consider whether the project could provide opportunities for research placements for students in school sixth forms (S5/6 in Scotland), sixth form colleges, further education colleges or universities.

5.2 How to submit your Full application

Pending the launch of our online application system, you should submit one electronic copy by email to the appropriate Grant Administrator (named on your shortlisting letter) by the deadline you are given. It is not necessary to submit a hard copy. Please ensure your Full application is in the correct format, as set out in Section 5.1, and that you include CVs (one page each), a budget breakdown and, if appropriate, the technical appendix and Gantt chart.
Please note that we cannot accept any revisions to your application after it has been submitted, unless in exceptional circumstances.

5.3 What happens next?

Following receipt of the Full application, the grants team will assess whether the application is in line with expectations, including whether it addresses sufficiently any earlier feedback. If we feel it is, the Programme Head or Director will take responsibility to ensure that we have all the information we need to enable Trustees to make an informed decision. The usual process is to share the Full application, including budget, with a range of peer reviewers (from the research community, policy and practice where appropriate). We often seek comments from international reviewers. If we receive a Full application that does not contain all the information we need, and/or that has not sufficiently addressed earlier feedback in the letter inviting submission of a Full application, we may decide not to share the application with peer reviewers.

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

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

Trustees are sent a copy of the Full application, the peer review comments and the applicant’s response to inform their decision. Most applications are considered by all Trustees, who may decide to offer a grant, request further clarification or specific conditions before awarding a grant, or not to award a grant. Applicants are informed of the outcome as soon as possible following the Trustees’ decision.
6. Stage 3: Finalising the award

6.1 Outcome letters

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

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

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

6.2 Response to outcome letters

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

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

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

6.3 Confirmation of award

A Confirmation of award letter will be sent to confirm the final details of the grant (e.g. budget, start and end dates, duration, reporting requirements and agreed Terms and conditions). It is only once this letter has been issued that the grant is confirmed and the details can be made public. We cannot fund any work that takes place before the start date of the grant, so if any expenditure is likely to be incurred before then, this should be discussed with us in advance.
It usually takes around three weeks between receiving your formal response letter and sending the formal Confirmation of award letter. We aim to issue a Confirmation of award letter within two months of issuing a Notice of award, but the length of time varies depending on the nature and scale of feedback, whether Trustee conditions have been set, and of course how long it takes the applicant to respond to the outcome letter. While the Foundation endeavours to be flexible where there are legitimate difficulties in providing all the information needed in response to a Notice of award letter, it reserves the right to withdraw an in principle offer if it is not possible to confirm the award within six months of issuing the Notice of award.

At this stage, it is important that you read our Guide for grant-holders, which sets out our typical approach to managing grants, including invoicing, grant outputs, acknowledging the Foundation, and reporting requirements.
Appendix A: Budget Guidelines

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

- Before submitting your application, you must check that the budget is correct and the sums add up. Applications with an incorrect budget may be returned or may have to wait until the next round for consideration.

- Our grant funding is outside the scope of VAT, as it is not a business activity for private benefit. Where applicants are contemplating working with others for substantial parts of the grant, we expect them to consider whether it is feasible to include them as co-applicants or collaborators, rather than as providers of a service which might make them liable for VAT. Any VAT that is expected to be payable must be set out within the budget submitted as part of Full applications; 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.

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

- You must submit a detailed budget breakdown with your Full application form. Your budget should set out, separately for each calendar year the project will run, the costs of carrying out the work and the total amount requested. Until we move to an online application system, the budget breakdown should be submitted in an Excel-readable spreadsheet format.
- Your Full application must include an explanation for the items for which you are seeking funding and a clear justification for the resources requested.

- Please note that peer reviewers are asked to comment on the overall value for money of the application and whether the amount of funded time sought is reasonable given the requirements of the project, i.e. that it is neither too high nor too low. We are as keen to ensure we support sufficient time, including senior time, as we are to ensure efficiency.

- Very occasionally Full applications present optional ‘extras’ or different ways of undertaking the same project. For the most part, we expect the Full application to make a case for a single method of proceeding, but where this is not possible, for example because of factors that cannot be clarified at the time of application, you should set out the costs of each alternative option.

- Any sub-heading relating to direct costs (e.g. fieldwork, equipment, dissemination) which exceeds £5,000 must be broken down and explained.

A more detailed explanation of eligible and ineligible costs is provided in the table below.
<table>
<thead>
<tr>
<th>Budget category</th>
<th>Eligible costs</th>
<th>Ineligible costs</th>
<th>Comments</th>
</tr>
</thead>
</table>
| Salaries and on-costs                   | Salaries (for both UK and non-UK staff).                                     | Enhanced salaries resulting from promotion are not eligible.                     | At Full application stage, your budget must show:  
  - The annual salary for each named person (net of National Insurance and employer’s pension contributions).  
  - The proportion of time each person would contribute to the project, entered as the Full Time Equivalent (FTE), where 1.0 is the equivalent to full time. If calculating a proportion of a week please assume a 35-hour working week and if calculating a proportion of a year assume 220 working days per year.  
  Where the person is not known, please specify the equivalent information separately for each post to be filled.  
  On-costs may be claimed in addition to basic salary costs, and should be separately itemised in the budget.  
  We expect the PI on the project to contribute at least ½ day a week (0.1 FTE) on average over the life of the grant. There is no minimum time limit for other members of the research team; however, it is important that all named members of staff have a clearly defined role. |
<p>| Cost of living and incremental pay      | Up to a maximum of 5% per annum.                                             |                                                                                  | At Full application stage, an estimate of these increases and increments should be included in the budget. The combined total of any increases and increments should not exceed 5% per annum. The Foundation will only meet the costs of actual increases, not estimated ones. |
| increments (overheads)                  | Estates costs for HEI staff who are not permanent staff or PIs can be met on a pro rata basis. | Indirect costs for HEIs are ineligible.                                          | 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 |</p>
<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overheads</td>
<td>Overheads for non-HEIs (but we do not expect overheads to exceed 60% as a proportion of salaries).</td>
<td>Estates costs for permanent staff and PIs in HEIs are ineligible. from the Nuffield Foundation are officially recognised by HEFCE as eligible for this QR funding. 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).</td>
</tr>
<tr>
<td>Consultants</td>
<td>Daily rates usually within range £250 - £800.</td>
<td>We expect all 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. At Full application stage, the number of days and daily rate should be specified in the budget. Rates higher than £800/day need detailed justification on the basis of specific skills, experience or seniority and/or where an individual contributor is freelance or where the input required is known to be limited or concentrated in a specific project element. Separate or additional overheads for consultants are not allowable since we expect these to be incorporated within the specified daily rate.</td>
</tr>
<tr>
<td>Equipment</td>
<td>Full costs for project-specific equipment for projects lasting three years or more.</td>
<td>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.</td>
</tr>
</tbody>
</table>
### Data collection/fieldwork

<table>
<thead>
<tr>
<th>Costs</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>All direct fieldwork costs.</td>
<td>At <strong>Full application</strong> 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.</td>
</tr>
<tr>
<td>Incentive payments (if justified).</td>
<td>At <strong>Full application</strong> 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.</td>
</tr>
</tbody>
</table>

### Communications and stakeholder engagement

<table>
<thead>
<tr>
<th>Costs</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel &amp; subsistence for advisory group members or contributors to events.</td>
<td>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.</td>
</tr>
<tr>
<td>Costs of events, publications and dissemination activities.</td>
<td>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.</td>
</tr>
</tbody>
</table>

*Travel and attendance costs at international academic conferences are not eligible, except with specific permission (unlikely prior to grant start).*
<table>
<thead>
<tr>
<th>Admin and office expenses</th>
<th>Fees for open access publication in journals are not eligible.</th>
<th>You must provide further breakdown or justification for budget lines that exceed £5,000.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel &amp; subsistence for all named individuals on projects.</td>
<td>Postage, telephone, stationery, photocopying and direct office costs attributable to the project.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other</th>
<th>Fees for advisory group members are not eligible. PhD fees are not eligible. Costs relating to Continuing Professional Development are not eligible.</th>
<th>Direct recruitment costs apply only to recruitment campaigns for project-specific staff (usually research assistants). These cannot be agreed retrospectively.</th>
</tr>
</thead>
<tbody>
<tr>
<td>E.g. direct costs for project specific staff recruitment campaigns.</td>
<td></td>
<td>The Foundation considers Continuing Professional Development activities to be the responsibility of the host institution.</td>
</tr>
</tbody>
</table>
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 to 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.