**Updated 3 March 2020**

# Grants for Research, Development and Analysis
# Guide for grant-holders

## Contents

## 1. Introduction

The Nuffield Foundation is an independent charitable trust that aims to advance social well-being and education opportunity across the UK. We do this by funding research, development and analysis projects in areas of education, justice and welfare, and by equipping young people with skills and confidence in quantitative and scientific methods through our student programmes. This guide is for those who have been awarded a research grant.

The Nuffield Foundation is an engaged and proactive funder; we aim to bring together researchers and users of research to identify the larger research questions and to maximise the impact of the work we fund. Our relationships with our grant-holders are crucial to this, and we will support you wherever possible over the course of your project.

This guide sets out our approach to managing grants, including what we require from you. Please read this guide in full on receipt of your award and refer to it as your first port of call during the course of your grant.

Every grant is managed by a Programme Head (or Director) at the Foundation and a Grant Coordinator (both named on your *Confirmation of award* letter). The Programme Head will provide oversight, support and constructive challenge throughout the grant, to ensure the work is high-quality, achieves its objectives and has impact and influence, as well as considering whether there are useful links to other projects funded by the Foundation or other contacts through the Foundation. The Grant Coordinator will usually be your first point of contact and will be able to respond to routine queries during the course of the grant, ensure core requirements are met and documentation is up-to-date. **You will have received a login to the Foundation's online portal when completing your Full Application and should continue to use this login throughout your project.** The Foundation's online portal is where you will be able to view upcoming requirements associated with your grant, exchange messages with your Programme Head and Grant Coordinator and upload the reporting and progress requirements for your grant.

This guide uses the term 'grant-holder' as a general term to include both the 'Principal Investigator' (PI) - who has overall responsibility for the project and who is the main point of contact with the Foundation - and for the host institution where the PI is based.

## 2. Confirmation of award: the start of your grant

The *Confirmation of award* letter marks the date the grant is awarded, even though the start date for your project may be several weeks or months later. [If you have not yet received your *Confirmation of award* letter then you should refer to the *Guide for applicants*, which provides information on all stages of the application process]. The *Confirmation of award* letter will explicitly set out the requirements of the grant with associated delivery dates. These include:

- Progress reports (formerly referred to as interim reports - see section 4.1).
- Communications plan (see section 3.1).
- Main Public Output (see section 4.5).
- End of project assessment (see section 5 & Appendix E).

Any changes to the requirements and associated dates must be agreed in writing with the Foundation in advance (see section 4.3).

The *confirmation of award* letter will also confirm the:

- Grant start date.
- Grant end date.
- Budget (broken down into staff costs and non-staff costs).
- Payment schedule.

When the *Confirmation of award* has been issued, we will create a project page on our website, setting out the basic details of your grant (your name, the grant amount, and its duration). The project page will also feature a summary of your project, based on the information supplied in your application. Once the project page is published on our website you will receive an email notification from us. You can let us know if there are any amendments you would like to make. We would also encourage you to publicise the award of your grant, for example by making an announcement in an organisational newsletter, press release, sharing on social media, or in a blog. You should also ensure your project has a strong presence on your host institution's website.

All outputs, including a project website, press releases and reports, must acknowledge that your project is funded by the Foundation and, where possible, use our logo alongside this acknowledgement with a hyperlink to our website (see section 3.4 and Appendix B for details).

Following the *Confirmation of award*, and prior to the official start date of your grant, the Foundation will get in contact with you to arrange a kick-off meeting or call with the Programme Head/Director.

## 2.1. Kick-off call/meeting

The kick-off call is an opportunity for the Programme Head/Director responsible for your grant at the Foundation to discuss the project with you, including any questions you may have about the grant, and working with the Foundation. This is likely to cover the following topics:

- Introductions.
- Overview of the project, including the aims, timetable and planned outputs.
- Requirements of the grant.
- The advisory group.
- Communications about the project.
- Any questions from the PI.

Please note that not all kick-off calls need to be phone/video conferences and can be held in person where convenient.

## 2.2. Advisory group

### Purpose of advisory groups

Advisory groups for research grants are intended to provide advice, support, challenge and constructive criticism at various points of the research or development processes. They should be set up at the start of a project or shortly afterwards.

An advisory group is not a project steering group; the purpose is not to drive the project forward and to keep a check on progress (this forms part of the PI's role in leading the grant). The purpose is, instead, to act as a sounding board for the PI and Co-Investigators, to advise and provide constructive challenge on approaches to the research, such as overall design, methods, analysis, interpretation, policy application, reporting and dissemination.

The project advisory group is an important element in the Nuffield Foundation's management of grants and in the quality assurance of work carried out under the grant.

### Role of advisory group members

Advisory group members perform a number of roles and it is likely that different people will be invited to join the group on the basis of their respective skills and interests.

The functions of advisory group members include, but are not limited to, advice and challenge to achieve project objectives in the following areas:

- The conduct of the research, methods and approaches.
- Ethical considerations.
- Research instruments designed and/or used as part of the project.
- Analytical approaches and interpretation.
- Commenting on and quality assuring research outputs, including reports.
- Advising on current and future policy, practice and delivery contexts relevant to the project, both nationally and, where relevant, internationally.
- Identifying opportunities for enhancing the impact of the study on policy, on practice and on building future research capacity.
- Advising on strategies and opportunities for disseminating results from the research
- Helping to develop the *Communications plan* for the grant.
- Raising awareness and using professional and/or academic networks to promote engagement with the study and its findings/outcomes.
- Identifying areas or issues on which the research team needs to seek external advice, whether that is from the Nuffield Foundation as funder, or from the wider research, policy or practice communities.

### Membership of advisory groups

The PI, as grant-holder, is required to seek the views of the Nuffield Foundation Programme Head or Director regarding advisory group membership. This should happen around the time of the initial kick-off call with the PI to start the project and will typically be one of the topics covered in that call or meeting.

Group members should be invited on the basis of their ability to contribute to the project. Their contribution could be in terms of their knowledge of the subject area, research methods, analytical approaches or the policy or practice environment and we would expect these different aspects of the project to be covered between members of the group. The group performs an important role in the management of a grant, raising any ethical concerns and quality-assuring the conduct of the research/development, analysis and reporting.

The PI must give significant consideration to ensuring that the advisory group represents an appropriately diverse range of expertise, backgrounds, views and experiences. The Foundation's Programme Head or Director should always be a member of the advisory group and receive all papers but, depending on circumstances, may not always attend the meetings.

The PI should confirm the names of the advisory group members to the Programme Head or Director as soon as possible once the membership is finalised.

The Nuffield Foundation does not usually pay for the time of advisory group members but please contact your Grants Coordinator where there are specific circumstances where this would limit the involvement of key organisations or individuals. Projects can compensate for reasonable actual travel and subsistence incurred, so long as these are included in the agreed budget. Advisory group members should claim their travel costs from the grant-holder directly.

### Role of the Principal Investigator in the advisory group

The PI's responsibilities will typically include:

- Recruiting appropriate members to the advisory group, including considering the independence required to chair the group, and identifying a suitable chair, and circulating the Terms of Reference document to them following agreement with the Foundation's Programme Head or Director.
- Organising meetings of the advisory group, including securing an appropriate venue.
- Agreeing and circulating agendas and papers for meetings in advance of the meeting to all members (including those members unable to attend a particular meeting);
- Arranging a note-taker for the meeting and circulating minutes of the meeting and any agreed action points.
- Circulating project plans for comment or agreement, including (but not limited to) fieldwork documents (letters, data collection tools, questionnaires and topic guides, etc.), analysis plans, communications and dissemination plans.
- Circulating drafts of project outputs for comment or agreement, including draft and final reports, papers for publication, presentations, etc.

Note that the papers and minutes of meetings should not be relied upon as a way to inform the Foundation of challenges or potential changes to a project; these should always be raised directly and *Change requests* should be submitted as appropriate (see section 4.3). It should not be assumed that suggestions and recommendations by the advisory group regarding changes to the project will be accepted by the grant-holder or the Foundation.

Any variation to these responsibilities will be agreed between the PI and the Programme Head or Director at the Foundation.

### Frequency of advisory group meetings

The frequency and scheduling of advisory group meetings should be agreed between the PH and the PI during the kick-off call/meeting. The timing of meetings will need to take into account:

- the overall length of the project.
- the phasing of different stages of the grant, particularly critical junctures for the project.

- the need to give group members sufficient time to read and comment on papers in advance of the meetings, and to be able to shape the project in line with its objectives and the practical development of the work.
- the location of members.

Feedback on papers, reports and other outputs can happen at meetings, but also via email or in writing, as appropriate.

PIs may also wish to consult advisory group members on an ad hoc basis, and/or to seek feedback or advice on particular issues via email.

As well as 'physical' meetings, advisory group meetings may take place 'virtually', e.g. via video-conference, or by telephone conference, where appropriate.

PIs may be able to use the Nuffield Foundation's offices in London for advisory group meetings, though this is not guaranteed.

**Notifying the Foundation that your advisory group has been set**

The Foundation requires that we receive notification via the Foundation's online portal that you have arranged an initial advisory group meeting. To submit this, log in to the portal, and then navigate to the Funding Requests tab where you can find your grant(s). Open the grant to which the advisory group corresponds and go to the Requirements tab, where you will find a 'Set up advisory group' requirement. To confirm that you have completed this select 'I confirm I have fulfilled this requirement'.

## 3. Communications and stakeholder engagement

Effective communication and stakeholder engagement activity is essential in enabling your project to achieve its objectives and maximise its impact. It should be an integral part of your project from the outset. This section sets out our requirements in relation to planning and implementing communications and stakeholder engagement, as well as delivery of your project outputs. It also provides some general guidance on effective approaches and highlights some of the ways we can support you.

**In particular, PIs should note the following requirements:**

- Grant-holders must submit a *Communications plan* to the Foundation by the date agreed in the *Confirmation of award* (see 3.1).
- Grant-holders must publish at least one report which is freely and publicly available and which serves as a concise account of your project, accessible to as wide an audience as appropriate, and drawing out key findings and recommendations prior to the grant end date. We refer to this as the *Main Public Output* (see section 4.5).
- Grant-holders must ensure that all communications and stakeholder engagement activities and outputs acknowledge the Foundation (see section 3.4).
- Grant-holders must provide the Foundation with advance notice of any media activity, including press releases, media articles or appearances. Press releases must be sent to the Foundation at least two working days prior to release (see section 3.4).

## 3.1. Communications plan

All PIs are required to develop a *Communications plan*, and your *Confirmation of award* will give you a date by which you should share this with us so that we can provide feedback. We expect your *Communications plan* to develop over the course of the project, so you should see it as a live document.

You will be sent a reminder when your *Communications plan* is due. To submit this, log into your portal, and then navigate to the Funding Requests tab where you can find your grant(s). Open the grant to which the *Communications plan* corresponds and go to the Requirements tab, where you will find a *Communications plan* requirement.
Upload the *Communications plan* and click the button to "confirm you have uploaded the required information". Press submit, and the communications plan will be visible to the internal team. To access the file you have uploaded, go the Files tab against your grant(s).

### Developing your Communications plan

The specific approach to communications and stakeholder engagement will depend on the project and the impact you want it to achieve, and there is no single model for an impact strategy or *Communications plan*.

Your *Communications plan* must include clear objectives about the impact you want to achieve, the key messages for your intended audiences and a plan for how you will reach them.

We do not have a *Communications plan* template, but one approach is to use the points below as headings in the plan. The notes below each heading will be useful in planning your communication activities.

1. **Objectives – what do you want to achieve?**

Consider what impact you want your project to have – what are the objectives of your communication activities? For example, are you trying to influence a specific area of policy, change practice or inform public debate? This will determine how you select the most appropriate communications and engagement activities for your project.

Try to be as specific as possible when setting out your objectives.

2. **Audiences – to achieve your communications objectives and desired impact who do you need to communicate your findings to?**

Often there will be several audiences to think about, and these might have different needs and priorities. Who do you want to talk to about the project? Why are they the right people to talk to about the project? A good place to start is by listing as many people/audience groups as possible that you normally communicate with who are interested in the area, and who you would like to communicate with to produce a list of audiences. They could include civil servants, parliamentarians, NGOs, think tanks, practitioners, other researchers, journalists and the general public. By defining your target audiences, you can then consider the best ways to engage and reach them.

## 3. Key messages for each audience

When it comes to communicating findings from your project it is likely that your messages will be different for the different audiences. Here it is helpful to summarise the relevant points for each audience you have identified above and set out a ‘call to action’ based on what you would like them to do as a result of the findings and why you think they are an important audience.

Having a clear and focused set of messages for each audience helps people understand and register your message, particularly if they hear the same message in different communications relating to the project.

When tailoring your message to each group it can be helpful to think about:

- Does the audience already know something about the issue?
- Would they already have an opinion? What might this be?
- How could they benefit from knowing the findings?
- Are there any changes they might make in light of the findings?

You may wish to consult with some members of your target audience to discuss the findings in more detail to better understand their perspective and shape the messages you want to convey.

Having considered the points above, for each audience set out:

- What do you want them to know?
- What do you want them to think and feel?
- What you do want them to do?

## 4. Channels – how will you get your key messages to your audiences?

An important part of your *Communications plan* is deciding which channels you will use to reach your audiences and when. These channels could be meetings, seminars, conferences, articles, email, social media, press release, blog or vlog, or podcasts.

When deciding which channels to use consider the needs of your audience. You need to make it as easy as possible for them to engage with your message. Using the channels they are most familiar with, and responsive to, will help, so consider:

- How does each audience group normally receive communications?
- What do they read, watch or listen to?
- How could you use these channels to get your message(s) across?

In drafting your plan:

- Ask yourself (and others working in the area) – what opportunities are on the horizon to contribute to relevant policy and/or practice debates? This could be in person, such as seminars or conferences, through select committee inquiries or government consultations, or online, such as blogs or conversations on social media, or responses to consultations/evidence reviews etc.
- Draw on the knowledge, expertise and professional networks of the project’s expert advisory group throughout the project, including when developing the plan, promoting the project externally and disseminating published project outputs.
- Look out for news stories that are relevant to your project as these can be a good hook to raise its profile. This could be by tweeting a journalist, writing a letter to a

newspaper, or talking to your press office about a more formal response via press release or blog post.
- Identify the online platforms where your target audiences are most active and take your message there. It is easier to engage with networks, blogs and communities that already exist than to attract audiences to new places. Twitter is a good place to start, Medium is a growing platform for longer posts, and The Conversation specialises in articles by researchers that discuss emerging evidence in the context of the current news cycle. There will also be subject-specific spaces that will be relevant to your project.
- Think about whether you could divide your research into different phases or themes to encourage stakeholders to engage with specific elements/findings.

For each audience group set out how you will get your messages to them.

### 5. Planned outputs

In this section, list all of the planned outputs from your project and timings for when these will be produced (see section 3.3). This must include at least one report that will be freely and publicly available and published prior to the grant end date (see section 4.5). We refer to this as the *Main Public Output*. This must be submitted to the Foundation for review, and your *Communications plan* must build in timescales for this.

If you are producing short summaries or articles, ensure that they make sense as stand-alone documents and that clear links are provided for those who might wish to explore the material in more detail.

### 6. Costs

Provide details of how you will use the money allocated to communications and stakeholder engagement in your project budget to deliver the *Communications plan*.

### 7. Archive for primary materials/data (if appropriate)

This section should include a proposal for an appropriate archive where you will deposit primary data collected in the course of a project, clearly stating what data will be archived, the timeline for doing so, and how this will be communicated to interested parties.

## 3.2. Events

As part of your dissemination activity, you may decide that the best way to reach your key audiences would be through a workshop, seminar, roundtable, or similar event(s). These events could be formative, designed to inform your project while ongoing, or designed to disseminate and discuss findings from your project and how to achieve impact. If you are planning an event please update your *Communications plan* and get in touch with the Foundation at the earliest stage of planning so we can share our learning on planning an effective event.

The first thing to consider when planning an event is **whether an event is really needed, and if so, what you want to achieve** from it, and whether it is likely to be genuinely productive. This will help you identify who to invite (numbers and mix of stakeholders), the appropriate format and programme, the chair and speakers, and the venue. Planning and delivering an effective event is time consuming and **you will need to prepare well in advance and plan sufficient resource** to make your event a success.

In some circumstances, it may be possible for you to use the Foundation's offices in central London, where we have rooms of a variety of sizes. Due to the limited availability of our meeting rooms, we cannot guarantee this, but if you are interested then seek advice from your Grants Coordinator about lead in times for event room bookings.

Foundation staff may also identify opportunities for you to contribute to an event that the Foundation is organising, for example, if your project is one of several on a linked theme reporting at a similar time, or if your research is relevant to a policy seminar we are convening.

## 3.3. Project outputs

You should consider the most appropriate outputs for disseminating your project and its findings to your target audience(s) as part of your communications planning. This may include reports, journal articles, presentations, blog posts, podcasts, videos, slide decks, and interactive data platforms or visualisations. It may be that a series of smaller papers may be the most effective way of communicating and achieving impact with your audiences during the course of your project. All such outputs must be specified in your *Communications plan* and acknowledge the Foundation appropriately (see section 3.4).

**Our minimum requirement is that you must produce at least one report which is freely and publicly available and which serves as a concise and accessible account of your entire project, drawing out key findings and recommendations.** We refer to this as your ***Main Public Output***, it must be published by your organisation and disseminated before your grant end date and in accordance with the agreed activity and timelines set out in your *Communications plan*. **More information is in section 4.5.**

## 3.4. Acknowledging the Nuffield Foundation

The Nuffield Foundation must be acknowledged in all outputs resulting from your project, and in all communications about your project, such as press releases, media appearances, presentations, web pages, seminars and conferences.

This guidance provides a model for acknowledging the Foundation in the most common types of output. However, there will always be outputs outside these examples. If you are unsure about how to acknowledge the Foundation's role in your project then please contact your Grant Coordinator.

**Standard acknowledgement**

We have two standard texts for acknowledging the Foundation, a full version and a shorter one.

The full version of our acknowledgement is:

> *The Nuffield Foundation is an independent charitable trust with a mission to advance social well-being. It funds research that informs social policy, primarily in Education, Welfare, and Justice. It also funds student programmes that provide opportunities for young people to develop skills in quantitative and scientific methods. The Nuffield*

> *Foundation is the founder and co-funder of the Nuffield Council on Bioethics and the Ada Lovelace Institute. The Foundation has funded this project, but the views expressed are those of the authors and not necessarily the Foundation. Visit [www.nuffieldfoundation.org](http://www.nuffieldfoundation.org)*

The full version is the default for written outputs such as reports. The most appropriate place is the acknowledgements section, but it can feature elsewhere if your report does not have a separate section. Our logo should appear alongside or underneath the acknowledgement and not on the front cover unless we specifically request it (see Appendix B).

The shorter version of our acknowledgement is:

> *The project has been funded by the Nuffield Foundation, but the views expressed are those of the authors and not necessarily the Foundation. Visit [www.nuffieldfoundation.org](http://www.nuffieldfoundation.org)*

The shorter version can be used in instances where the output is much shorter, for example in standalone summaries, in journal articles, and in presentations. You should use the logo alongside if there is space but there is no requirement to do so.

### Acknowledging the Foundation in books

In situations where you use findings from your Nuffield–funded research in a book, or chapter in a book, the Foundation should be acknowledged. As a minimum, please use the shorter version of the acknowledgement text above.

If a book is based wholly or largely on research funded by the Foundation, then our preference is to include our logo on the back cover. Of course, this is subject to the agreement of the publisher. Please raise this with the publisher at the earliest opportunity and we are happy to liaise directly with them if appropriate both about acknowledgement and dissemination issues more generally.

### Acknowledging the Foundation in press releases

If you are issuing a press release at any point during your project, then you must **a)** ensure your press release acknowledges the Foundation's funding and **b)** that it is sent to the Foundation's Senior Communications Officer, Claire Sewell (csewell@nuffieldfoundation.org) **at least two working days** in advance of it being distributed.

If you are drafting a release, please refer to the project being 'funded by the Nuffield Foundation' in one of the early paragraphs. You should also include the full acknowledgement in the notes to editors.

### Using the Foundation's logo

We ask grant-holders to use the Nuffield Foundation logo alongside the acknowledgement in reports on work funded by the Foundation. Other instances where you should use it are:

- On PowerPoint presentations (this does not need to be on every slide).
- On websites or webpages that feature your project (if possible, the logo should have a hyperlink to our website).

Please refer to Appendix B for guidelines on using the Nuffield Foundation logo.

# 4. Ongoing grant management: when to get in touch and how

This section provides guidance on how and when you should get in touch with the Foundation, in order to make the most of your project. We also set out our processes for submitting and responding to *Progress reports*, *Change requests* and invoices so you know what to expect, and can work with us to ensure the administrative side of things runs as smoothly as possible.

Throughout your grant we will provide advice and support to you to help you achieve your objectives, and the requirements set out below provide a framework to facilitate this.

## 4.1. Progress reports to the Nuffield Foundation

*Progress reports* (formerly referred to as Interim reports) are the short updates we require during the course of the project which are for internal use by the Foundation for planning and grant management purposes, so are not made public. The number and timing of *Progress reports* will be set out in your *Confirmation of award* letter or will have been agreed since the issue of this letter. If you are unsure when these updates are due check on the portal or ask your Grant Coordinator.

These reports are an opportunity for you to give us an account of progress to date, problems and successes, and any circumstances that have led to a significant departure from the work specified in the original proposal (even though you will already have sought our permission for these, see section 4.3). You will be sent a reminder when each *Progress Report* is due. To submit this, log into your portal, and then navigate to the Funding Requests tab where you can find your grant(s). Open the grant to which the *Progress Report* corresponds and go to the Requirements tab, where you will find a *Progress Report* requirement.
Complete the form and press submit, this will then be visible to Foundation staff. To view what has been submitted, go to the Monitoring tab.

The *Progress Report* is designed to help facilitate conversations with you about how the project is going and how we might assist in achieving the project objectives, for example by providing advice on overcoming obstacles, considering whether the project needs to be refined, or linking you to key stakeholders and other ongoing relevant research. We will normally ask you to review your *Communications plan* alongside submitting your *Progress Report*. You may also wish to use *Progress Reports* as an opportunity to review the budget against forecasted spend to ensure all is on track financially.

### 4.1.1 Sections of the Progress Report Form

| **Section** | **Type of field** | **Mandatory or optional field** | **Other notes** |
|---|---|---|---|
| ***Page 1*** | *Summary information* | | |
| Grant ref | Pre-filled field based on already submitted information | N/A | |

| | | | |
|---|---|---|---|
| Project title | Pre-filled field based on already submitted information | N/A | |
| Organisation name | Pre-filled field based on already submitted information | N/A | |
| **Page 2** | *Progress Report* | | |
| Project progress to date | Free text | Mandatory | Please provide details about how your project is going, including an assessment of whether it is running to the original timetable (or otherwise agreed with the Foundation). |
| How has your project advisory group been involved in the project? | Free text | Mandatory | Please provide details about meetings held since your last update, future meetings planned and how the group has been contributing to the project. |
| Who is a member of your project advisory group? | Free text | Mandatory | Please provide their names, organisation and area of expertise/experience. |
| What has gone well? | Free text | Mandatory | Please provide details of the successes to date. |
| What challenges have you encountered? How have you overcome these challenges? | Free text | Mandatory | Please provide details. |
| Have any circumstances led to changes from your original plans? | Free text | Mandatory | Please provide full details. If you need to request changes to your grant, please complete a Change Request via the portal |
| What are your key findings? (If applicable) | Free text | Optional | Please provide brief details about any findings from your project to date. |
| **Please provide details of any project outputs to date** | *Progress Report sub-section* | | Additional project outputs can be added by pressing the ‘add another response’ button |
| Category | Dropdown | Optional | Book; Blog; Journal article; Report; Other |
| Date of Publication | Calendar field | Optional | 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. |

| | | | |
|---|---|---|---|
| Reference (if applicable) | Free text | Optional | |
| Hyperlink (if applicable) | Free text | Optional | |
| **Dissemination and impact** | | | |
| What activities have you done to date? | Free text | Optional | Please include any examples of media coverage, events, social media etc. |
| What impact has your project had to date? | Free text | Optional | Please include any examples of changes to policy, practice or other impacts as a result of your project. |
| What future plans do you have for your dissemination and impact? | Free text | Optional | |

### 4.2. Submitting invoices

**Invoices should be submitted quarterly in arrears, and must be accompanied by a table setting out actual expenditure against the agreed budget categories** (these will have accompanied your *Confirmation of award* letter). All invoices should be sent by email to grantinvoices@nuffieldfoundation.org and marked clearly with your grant reference.

We will not make final payment for projects until your *Main Public Output* has been published and disseminated and we usually withhold up to 20% of the grant amount for this purpose.

Common reasons why we reject or query invoices are:

- No breakdown has been included.
- It is unclear which budget category a cost should come from.
- Spending in a category is significantly faster or slower than anticipated (e.g. in the original budget) without a satisfactory explanation.
- The costs on the invoice do not add up.
- Expenditure has been incurred outside the period of the grant.
- The invoice draws down the final 20% of the budget prior to publication and dissemination of the *Main Public Output.*

Please ensure your finance department is notified of our invoicing requirements.

## 4.3. Proposed changes to your project

**To manage your grant effectively we need to be consulted on key project changes** you may consider regarding the project scope, approach/design and delivery plans, outputs and communication activities, staffing, timetable, and budget (including budget categories). This applies even where there are no budgetary implications.

These are likely to be exceptional situations, and we will treat such requests on a case-by-case basis. Our aim is to support you in delivering the best possible project and impact. Changes may be requested in response to earlier study findings or to take up new opportunities that present themselves as the project progresses. We recognise that sometimes project changes are required to achieve this and that sometimes it is not possible for grant-holders to deliver as planned due to reasons beyond their control.

**If you wish to make a change to your project, you need to complete a *Change request* form. Contact your Grant Coordinator to request the *Change request* form.**

Below we provide more information about the different types of change you may need to request, highlighting instances when we would expect you to get in touch and what information we will need from you to consider the request.

**Project scope or approach:** changes to research questions, sampling strategy, sample size/coverage, recruitment procedures, approach for control groups, analysis plans, availability of data.

- If you wish to make significant changes to the scope of your project, or how you will meet the aims and objectives, you must get in touch with us so that we can review the proposed changes and discuss these with you.
- You must notify us as soon as possible if you fail to gain access to research facilities or samples, or to gain ethical approval, and are therefore unable to proceed as planned. You should set out your proposal for how to proceed with the project, including the rationale and wider implications for delivery and success of the project.

**Project outputs and dissemination**: if you want to make substantial changes to the activities covered under section 3.4.

- In these instances, we would expect you to update your *Communications plan* and refer to this as necessary in the *Change request* form.
- We would not expect grant-holders to complete a change request for minor changes to planned communication activities with no financial implications, for example if you are going to do a blog about the work or submit to a different conference. However, if you are not sure whether a change request form needs to be completed please get in touch with your Grants Coordinator in advance, who will be able to provide individual advice.

**Staffing changes:** changes to named team members, including institution moves, long-term absences from the project (both planned and unplanned), and time contributions to the project.

- As PI, you must inform us immediately if you intend to move to another institution during the course of the grant. We will then discuss with you whether a new PI should be identified or whether the award should be transferred to your new host institution. Depending on what we agree, we will then inform you of what is required to action this.
- If other project staff move institution then you must inform us as soon as possible, even if that staff member's contribution to the project is unchanged and there are no cost implications. You must also notify us if a member of the team leaves the project.
- If new staff join the project, you must submit their CV(s) to the Foundation with your *Change request* form.
- If project staff are absent from the project as a result of parental leave, caring responsibilities, or long-term sickness, please contact us as soon as possible.

**Timetable:** delays to your work plan, including those which mean you will no longer be able to complete your project by the grant end date.

- The work to be undertaken under your grant - including the publication of your *Main Public Output* and implementation of the bulk of your *Communications plan* – must be completed by the end date of your grant. If your timetable has slipped and the end date is no longer accurate, you should request a **no-cost extension**.
- Requests for no-cost extensions must be submitted **well in advance of the existing end date**, using the *Change request* form and detailing the reasons for this. We are not liable for any costs incurred after the agreed end date, so it is to the grant-holder's advantage to ensure any extensions are agreed well in advance. Where an end date is extended, the deadline for the *End of project assessment* (see section 5) is extended by the same amount of time and a letter will be sent to confirm the changes.

**Budget transfers**: permission is needed to move expenditure between the approved budget categories, **even if to do so would be cost neutral**, since such changes usually have implications for the focus and delivery of the project. At the end of each financial year any remaining budget will be available to invoice against in subsequent years of the project so there is no need to submit a change request solely to reprofile the budget in this way, unless specifically requested by the Foundation.

- To request permission for a budget transfer, you (the PI) must complete the *Change request* form, stating the reasons for the transfer request, the exact amount(s) you want to transfer and the category/ies you want to transfer these amounts from/to.
- You must also submit an updated budget spreadsheet (see example overleaf). It is often easiest to set out transfer requests in a table like the example below, which shows a request to transfer funds *from* the Research Assistant staff budget, equipment budget and other direct costs budget *into* the PI staff costs budget and the Communications & stakeholder engagement budget.

| Budget category | Total budget | Budget transfer request | Revised budget |
|---|---|---|---|
| Staff cost – PI | £9,212 | £850 | £10,062 |
| Staff cost – Research Assistant | £65,771 | - £800 | £64,971 |
| Communications & stakeholder engagement | £1,600 | £500 | £2,100 |
| Equipment | £400 | - £100 | £300 |
| Other direct costs | £1,200 | - £450 | £750 |
| **Total** | **£78,183** | **£0** | **£78,183** |

## 4.4. Unforeseen costs and supplementary grants

Our expectation is that grant-holders will keep within the agreed budget and, if necessary, request transfers between budget categories to make adjustments. If it is not possible for justified additional costs to be met by a transfer, we may sometimes consider requests for supplementary funding in cases where unexpected costs have arisen due to unforeseeable circumstances. Occasionally there may be an outstanding opportunity to enhance your project, and you may wish to seek additional funding to support this by requesting a supplementary grant for this purpose. In this case, you must be able to demonstrate how the additional expenditure will increase the impact of the project. In the first instance, you should contact your Programme Head to discuss the reasons for your request and the rough budget required. If we think you have a potential case for additional funds, we will ask you to submit a formal request which, depending on the nature and level of the request, may involve completing the *Change request* form.

Requests for supplementary funding usually need to be approved by Trustees and there is no guarantee that they will be granted.

## 4.5. Main Public Output

**We expect your *Main Public Output* to include the following:**

- A summary of no more than 3,000 words which should serve as an executive summary of the full report as well as a standalone briefing paper. The summary should provide enough detail about the rationale for the project, the project aims, methods, findings and key recommendations for policy and practice to provide a clear account of the quality of the work and robustness of the conclusions.
- A description of the project's overall objectives and why it is important, both in terms of its contribution to the evidence and why it matters to policy and/or practice.
- A brief account of the project's methodology (details can be covered in an Annex).
- An engaging account of your key findings, supported by appropriate visual representation, tables and/or figures.
- An assessment of the implications and recommendations for policy and practice (and where appropriate further research and analysis) arising from the project, and what you think needs to happen next – this will be an important section of the report, and often aligns with the key messages for policy and practice set out in your *Communications plan*.

Your Main Public Output should be aimed at a generally informed and interested reader but not necessarily someone with detailed prior knowledge of the topic or technical expertise. Main Public Outputs differ in length, reflecting project duration, complexity etc, and intended length should be discussed with your Programme Head and/ or outlined in your Communications Plan. While Main Public Outputs vary in length from project to project, we usually expect them to be 25 to 50 pages in length.

**Your *Main Public Output* will be reviewed by the Foundation**. Other outputs may also be reviewed by the Foundation, and this will be agreed as part of the ongoing discussions about your *Communications plan*. Prior to review by the Foundation, we expect you to use your advisory group (and where relevant other peer reviewers) to help you consider the approach to your outputs and to provide quality assurance by reviewing drafts, incorporating feedback from the advisory group in the draft **before** submission to the Foundation.

When submitting outputs to the Foundation you should **allow at least three weeks turnaround for review comments.** This is so we have the opportunity to provide feedback, to advise on opportunities for impact, and to check that the Foundation is appropriately acknowledged. Our feedback may require you to make changes to the output, both in terms of the content and the presentation, so it is essential that suitable time is built in to respond to any comments or queries following our review. Given the quantity of projects that we fund we cannot guarantee that we will always be able to provide feedback, but we will endeavour to do so where we can, and having timings set out in your *Communications plan* will help our scheduling.

**Submitting your *Main Public Output***

To submit your *Main Public Output*, you must login to the portal, and then navigate to the Funding Requests tab where you can find your grant(s). Open the grant to which the *Main Project Output* corresponds and go to the Requirements tab where you will find a *Main Public Output* requirement.

Upload the *Main Public Output* and click the button to “confirm you have uploaded the required information”. Press submit, and the *Main Public Output* document will be visible to Foundation staff. To access the file you have uploaded, go the Files tab against your grant(s).

Unless otherwise agreed, **the host institution is responsible for publishing the *Main Public Output***. In practice, this means that the PI, and not the Foundation, is responsible for all aspects of producing and disseminating the report, including the content and quality, and making sure it is available on the host institution’s website. The report should therefore comply with the host institution’s branding and style guidelines.

We recognise that for some other outputs such as **journal articles**, production timescales can be too long to make publication before the end of the grant feasible. For that reason, we ask that any key journal articles are at least *submitted* (as opposed to published) by the end of the grant (although this does not stop you from submitting additional journal articles after the grant has ended). Please remember, if you are producing other outputs, including journal articles, the Foundation still requires publication of the *Main Public Output* before the grant end date.

We strongly encourage you to generate appropriate additional outputs after the end of the grant if this helps achieve impact. We cannot incur any costs after the end of the grant, unless you submit a compelling case for why the Foundation should fund further work. Nonetheless, we would like you to keep us informed of any further outputs relating to your project and to send us copies (where relevant).

**All final versions of outputs should be submitted to the Foundation.** Once an output is in the public domain, we will post links or reference this on our website as appropriate. We also ask that PIs share links to any other outputs, including those prepared and/or published after the grant end date so that we can link to these from the relevant project page.

**You should acknowledge the Foundation's funding in all project outputs**, including reports, journal articles, press releases, project websites, and blogs by using our standard acknowledgement and, where possible, use our logo alongside this acknowledgement with a hyperlink to our website (see section 3.4 and Appendix B). Please inform us of all project outputs so we can help promote them.

**If you are issuing a press release** at any point during your project, then you must ensure your press release acknowledges the Foundation's funding and send a draft to the Nuffield Foundation at least two-days before circulation (see section 3.4). If your institution is monitoring media coverage or other engagement for of your project please send this to the Foundation's Senior Communications Officer, Claire Sewell (csewell@nuffieldfoundation.org).

### 4.6. Approaching the end of your grant

By the end date of the grant **you are responsible for ensuring that the *Main Public Output*, and any other outputs have been published and disseminated, as set out in your *Communications plan***. Please note that all expenditure relating to the grant should be incurred by the end date. You must notify the Foundation as soon as possible if you have difficulty complying with these requirements.

## 5. After your grant has ended

After your grant ends, you are responsible for ensuring that all invoices relating to the grant have been submitted within six months of the end of the grant. Balances unclaimed after six months will be retained by the Foundation. Please be aware that access to the online portal will not be indefinite, so we recommend that you save key documents and do not rely on the portal as the sole repository for information about your project.

After your grant has ended, we require submission of an *End of project assessment*. This is comprised of two parts:

1. Around the end of your grant, we will ask you to submit Part A of the *End of project assessment* with your reflections about how the project went, an assessment of the extent to which you met your project objectives, and your experience of working with the Foundation.
2. Six months after the end of your grant we will ask you to submit Part B of the assessment. This is an opportunity to reflect on the impact the project has had and for

you to update us on related communication activities and other follow-up work since the grant ended.

The *End of project assessment* is solely for internal use by the Foundation and separate from the *Main Public Output* (see section 4.5). The due date for your *End of project assessment* is stated in the *Confirmation of award* letter, although in some cases we may agree a later date.

We use the *End of project assessment* to reflect on the projects we fund and inform our future priorities and ways of working, which includes reporting back to our Trustees on the impact of the project. To help facilitate this we ask that when completing the online form in the portal that you complete the form as fully as possible. The relevant Programme Head or Director may request a phone call or meeting to discuss post-grant reflections and opportunities for follow up work in more detail.

The PI is also responsible for ensuring that all primary quantitative data collected in the course of the project is deposited in the agreed archive within one year of the grant end date.

More generally, we ask that you keep us informed of any outputs that are published after the formal end of the grant. **Please send any further outputs relating to your project to your Grant Coordinator**, so we can update our website accordingly. After your grant has ended, we may also follow up to discuss wider research or other plans, for example as a result of reviewing or synthesising our work.

### 5.1 Submitting your *End of Project Assessment*

You will receive a reminder email when one section of your *End of Project Assessment* is due, the timings for which are noted in section 5. When you receive this notification, log in into your portal, and then navigate to the Funding Requests tab where you can find your grant(s). Open the grant to which the *End of project assessment* corresponds and go to the Requirements tab where you will find two *End of project assessment* requirements, titled: *End of Project Assessment (part A)* and *End of Project Assessment (part B).* When either section of the *End of Project Assessment* is due, the status of the requirement will be 'Requested'. Click on the relevant section of the *End of project assessment,* and a link to complete a form will be displayed.

### 5.2 Sections of the End of project assessment (part A)

| **Section** | **Type of field** | **Mandatory or optional field** | **Other notes** |
|---|---|---|---|
| ***Page 1*** | *Summary information* | | |
| Project ref | Pre-filled field based on already submitted information | N/A | |
| Project start date | Pre-filled field based on already submitted information | N/A | |

| | | | |
|---|---|---|---|
| Project end date | Pre-filled field based on already submitted information | N/A | |
| | | | |
| **Principal Investigator Contact Details** | End of project assessment sub-section | | |
| Title | Pre-filled field based on already submitted information | N/A | |
| Name | Pre-filled field based on already submitted information | N/A | |
| Organisation name | Pre-filled field based on already submitted information | N/A | |
| Position/job title | Pre-filled field based on already submitted information | N/A | |
| Email Address | Pre-filled field based on already submitted information | N/A | |
| Telephone number | Pre-filled field based on already submitted information | N/A | |
| Project title | Pre-filled field based on already submitted information | N/A | |
| | | | |
| ***Page 2*** | End of project assessment (part A) | | |
| What were the original aims and objectives | Free text | Mandatory | |
| Were there any changes to the aims and objectives as the project progressed? | Dropdown | Mandatory | Description of change box is displayed for completion upon selecting ‘yes’ |
| | | | |
| **Reflecting on project successes and challenges** | End of project assessment (part A) sub-section | | |
| a) How do you feel these aspects of the project went? What went well? Why? | Free text | Mandatory | |
| b) What challenges did you encounter? How did you deal with these? Who was involved in | Free text | Mandatory | |

| | | | |
|---|---|---|---|
| helping to overcome these challenges? | | | |
| c) How do you feel these aspects of the project went? What went well? Why? | Free text | Mandatory | |
| d) What challenges did you encounter with communication and stakeholder engagement activities? How did you deal with these? Who was involved in helping to overcome these challenges? | Free text | Mandatory | |
| e) If you were to do a similar project in the future, how would you approach things differently | Free text | Mandatory | |
| To what extent do you feel that the project has achieved its aims? If the aims changed as the project progressed please answer this question based on the revised aims you agreed with the Foundation. | Dropdown | Mandatory | The options presented are: Fully achieved all aims, partially achieved all aims, did not achieve its aims |
| What were the main findings from the project? | Free text | Mandatory | For most projects we would expect grant-holders to summarise 3-6 key findings or messages in this section |
| What are the implications of these findings for policy and practice? Please include any specific recommendations you made as a result. | Free text | Mandatory | |
| | | | |
| **Please provide details of any project outputs to date** | End of project assessment (part A) sub-section | | Please only include details of outputs that you have not already told us about. |
| Category | Dropdown | Optional | The options presented are: Blog, Book, Journal Article, Report, Other |
| Date of publication | Calendar field | Optional | |

| | | | |
|---|---|---|---|
| Reference (if applicable) | Free text | Optional | |
| Weblink (if applicable) | Free text | Optional | |
| | | | |
| What dissemination activities have you done to date? | Free text | Optional | Please include any examples of media coverage, events, social media, etc. |
| If you collected primary data as part of your project, will you be archiving data collected? | Dropdown | Mandatory | The options presented are: Yes- please specify which archive data will be submitted to & when this will be complete, No- please specify why, Not Applicable |
| Please specify below | | Mandatory | To be completed depending on your answer to the question above |
| | | | |
| **Impact** | End of project assessment (part A) sub-section | | |
| What impact did you want your project to have? Who did you want to inform and/or influence and how as part of this? | Free text | Mandatory | |
| What future plans do you have for dissemination and impact? | Free text | Mandatory | |
| | | | |
| **Working with the foundation** | End of project assessment (part A) sub-section | | |
| We would like your feedback on your experience of being funded by the Nuffield Foundation. | Free text | Mandatory | In your response, please consider:<br>- What support were you expecting from the Foundation?<br>- How did you feel about the support provided? Was it welcome? Was it helpful? How?<br>- Were you able to relay information to us when things did not go to plan?<br>- Was support for communications activities helpful?<br>- What else could the Foundation have done to help you achieve your project aims? |

## 5.2 Sections of the End of project assessment (part B)

| Section | Type of field | Mandatory or optional field | Other notes |
|---|---|---|---|
| ***Page 1*** | *Summary information* | | |
| Project ref | Pre-filled field based on already submitted information | N/A | |
| Project start date | Pre-filled field based on already submitted information | N/A | |
| Project end date | Pre-filled field based on already submitted information | N/A | |
| | | | |
| **Principal Investigator Contact Details** | *Summary information sub-section* | | |
| Title | Pre-filled field based on already submitted information | N/A | |
| Name | Pre-filled field based on already submitted information | N/A | |
| Organisation name | Pre-filled field based on already submitted information | N/A | |
| Position/job title | Pre-filled field based on already submitted information | N/A | |
| Email Address | Pre-filled field based on already submitted information | N/A | |
| Telephone number | Pre-filled field based on already submitted information | N/A | |
| Project title | Pre-filled field based on already submitted information | N/A | |
| | | | |
| **Page 2** | *End of project assessment (part B)* | | |
| | | | |
| **Reflecting on project successes and challenges** | *End of project assessment (part B) sub-section* | | |
| | | | |

| | | | |
|---|---|---|---|
| **1a) Please provide details of any project outputs to date** | *End of project assessment (part B) sub-section* | | Please only include details of outputs that you have not already told us about |
| Category | Dropdown | Optional | The options presented are: Blog, Book, Journal Article, Report, Other |
| Date of publication | Calendar field | Optional | |
| Reference (if applicable) | Free text | Optional | |
| Weblink (if applicable) | Free text | Optional | |
| | | | |
| 1b) What dissemination activities have you done to date? | Free text, pre-filled with response from part A for you to update. | Optional | Please include any examples of media coverage, events, social media, etc. |
| | | | |
| **Impact** | *End of project assessment (part B) sub-section* | | |
| 2a) What impact has your project had to date? | Free text, pre-filled with response from part A for you to update. | Mandatory | Please include any examples of changes to policy, practice or other impacts as a result of your project. |
| 2b) What future plans do you have for dissemination and impact? | Free text, pre-filled with response from part A for you to update. | Mandatory | |
| 3) Is there scope for the project to achieve further impact in the longer terms? | Dropdown | Mandatory | The options presented are: Yes, No, Maybe. Details box is displayed for completion upon selecting Yes or Maybe |
| 4) Is this project going to be used as a REF case? | Dropdown | Mandatory | The options presented are: Yes, No, Maybe. Details box is displayed for completion upon selecting Yes or Maybe |
| 5) Is any follow up work planned or underway? | Dropdown | Mandatory | The options presented are: Yes, No. Details box is displayed for completion upon selecting Yes |

## Appendix A: Advisory Group Terms of Reference

All individuals invited to join the advisory group should be sent a document outlining the terms of reference for the group, to ensure that there is a shared understanding of the purpose and remit of the group. A template terms of reference document can be found below which we expect grant-holders to work from and adapt as required.

**<u>Terms of Reference for research grant advisory groups</u> [to be agreed with the Nuffield Foundation Programme Head or Director]**

**[Nuffield Foundation grant reference number]**

**[Project name]**

**Principal Investigator: [Name and institution]**

Nuffield Foundation contacts:

Programme Head / Director managing the grant: [Name]

Email:

Grant Coordinator: [Name]

Email:

**Introduction**

[Insert description of project]

**Terms of reference**

The terms of reference of the advisory group include:

1. to provide oversight, advice and challenge on the conduct of the research, including the methods and approaches used;
2. to highlight and discuss and, if possible, resolve, ethical considerations that emerge in the course of the research;
3. to comment on the suitability and quality of research instruments designed and/or used as part of the project;
4. to quality assure analytical approaches and interpretation;
5. to comment on and quality assure research outputs, including reports;
6. to help identify implications for policy and practice;
7. to help shape and advise on communication and dissemination of project outputs and findings;

8. to identify areas or issues on which the research team needs to seek external advice, whether that is from the Nuffield Foundation as funder, or from the research, policy or practice communities.

[If any of the above items in the suggested terms of reference is not relevant to a particular grant, they can be deleted by agreement between the Principal Investigator (PI) and the Programme Head or Director. The PI should feel free to propose additional items to the terms of reference where appropriate.]

### Confidentiality

All advisory group members must treat as confidential any discussions at advisory group meetings, emails, and any documents that may be shared, including pre-publication copies of research reports.

### Travel expenses

Members of the advisory group may claim reasonable travel costs incurred in attending formal meetings and should liaise with [name of the Principal Investigator or their nominated contact name] [insert contact details]

## Appendix B - Using the Nuffield Foundation logo to acknowledge funding

We ask grant-holders to use the Nuffield Foundation logo alongside our standard written acknowledgement in outputs from projects funded by the Nuffield Foundation, for example:

- Your publicly available reports.
- Presentations.
- Websites / pages featuring your project. In these instances, the logo should be hyperlinked to [www.nuffieldfoundation.org](http://www.nuffieldfoundation.org)

We do not expect our logo to appear in journal articles, although a written acknowledgement must be included.

For full guidance on how to acknowledge the Foundation's funding, see section 3.5.

If you have any questions about when or how to use the Foundation logo, contact your Grant Coordinator.

### Logo sizing

The logo must be reproduced from original artwork supplied by the Nuffield Foundation (not copied from our website).

On A4 documents, the logo should measure 21.5mm from top to bottom.

21.5mm

To ensure our logo is always clear and legible, it should not be reproduced smaller than 18mm from top to bottom.

### Variations

The default version is dark green on white or a very pale background. Where the logo needs to appear on a coloured background, a reversed white version can be used.

### Exclusion zone

The logo should be used within an area of clear space. Clear space should be measured by the height of the **N** in the frame device.

### Written acknowledgement

In reports (not presentations or websites), the logo must appear inside the document alongside our standard written acknowledgement. It can appear above or below the text, depending on the layout of your acknowledgements page (or equivalent), for example:

*The Nuffield Foundation is an independent charitable trust with a mission to advance social well-being. It funds research that informs social policy, primarily in Education, Welfare, and Justice. It also funds student programmes that provide opportunities for young people to develop skills in quantitative and scientific methods. The Nuffield Foundation is the founder and co-funder of the Nuffield Council on Bioethics and the Ada Lovelace Institute. The Foundation has funded this project, but the views expressed are those of the authors and not necessarily the Foundation. Visit [www.nuffieldfoundation.org](http://www.nuffieldfoundation.org)*